

# HUNTON & WILLIAMS

ATLANTA, GEORGIA  
BANGKOK, THAILAND  
BRUSSELS, BELGIUM  
CHARLOTTE, NORTH CAROLINA  
HONG KONG  
KNOXVILLE, TENNESSEE  
LONDON, ENGLAND

1900 K STREET, N.W.  
WASHINGTON, D.C. 20006-1109  
TELEPHONE (202) 955-1500  
FACSIMILE (202) 778-2201

MCLEAN, VIRGINIA  
MIAMI, FLORIDA  
NEW YORK, NEW YORK  
NORFOLK, VIRGINIA  
RALEIGH, NORTH CAROLINA  
RICHMOND, VIRGINIA  
WARSZAWA, POLAND

JIM GATTO  
E-MAIL: JGATTO@HUNTON.COM

FILE NO.: 53470.000039  
DIRECT DIAL: (202) 955-1869

December 7, 1999

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: New U.S. Patent Application of  
Inventor(s): Michael ZIRNGIBL, et al.  
“SYSTEM AND METHOD FOR THE CREATION AND AUTOMATIC  
DEPLOYMENT OF PERSONALIZED, DYNAMIC AND INTERACTIVE  
VOICE SERVICES, WITH INTEGRATED INBOUND AND OUTBOUND  
VOICE SERVICES”

Dear Sir:

Attached is a new patent application for filing in the United States Patent and Trademark Office, including fifty-five (55) pages of specification, four (4) pages of claims (numbered 1-18), an Abstract, and fourteen (14) sheets of drawings (Figs. 1a-c; 2, 3a-c; 4-5, 6a-c; 7-8). Also enclosed is an Assignment with cover sheet and an Executed Joint Declaration for Patent Application.

The filing fee is calculated as follows:

03/24/2006 12:07:00 PM

12/07/99  
jc675  
12/07/99  
U.S.

jc675 U.S. PTO  
09/455534  
12/07/99

# HUNTON & WILLIAMS

## BOX PATENT APPLICATION

December 7, 1999

Page 2

				Amount
Basic Filing Fee				\$ 760.00
Rate				
Extra		Large Entity	Small Entity	
Number of Claims in Excess of 20	18-20	0	\$18	\$
Independent Claims in Excess of 3	2-3	0	\$78	\$
Assignment Recordation				\$ 40.00
				<b>TOTAL FEE DUE</b> \$ 800.00

Checks in the total amount of \$ 800.00 are attached to cover the basic application filing fee, additional claims fee and assignment recordation fee. In the event any variance exists between the amount enclosed and the Patent and Trademark Office charges, please charge or credit any difference to the undersigned's Deposit Account No. 50-0206. **A duplicate of this sheet is attached.**

Please direct all communication concerning this application to:

James G. Gatto  
Hunton & Williams  
1900 K Street, N.W., Suite 1200  
Washington, D.C. 20006-1109

Respectfully submitted,

*Brian M. Buonocore*  
By: Reg. No. 31,125  
*for* James G. Gatto  
Registration No. 32,694

Enclosures

**SYSTEM AND METHOD FOR THE CREATION AND AUTOMATIC DEPLOYMENT  
OF PERSONALIZED, DYNAMIC AND INTERACTIVE VOICE SERVICES, WITH  
INTEGRATED INBOUND AND OUTBOUND VOICE SERVICES**

**Field of the Invention**

This invention relates to a system and method for providing inbound and outbound voice services. The invention may be used in conjunction with a system for the creation and automatic deployment of personalized, dynamic and interactive voice services, including information derived from on-line analytical processing (OLAP) systems and other data repositories. More specifically, the invention enables personalized delivery of (outbound calling) and accessing of (inbound calling) information in real-time, via natural language voice communication with a voice-enabled terminal device.

10 **Background of the Invention**

Decision support systems have been developed to efficiently retrieve selected information from data warehouses. One type of decision support system is known as an on-line analytical processing system. In general, OLAP systems analyze the data from a number of different perspectives and support complex analyses against large input data sets. There are at least three different types of OLAP architectures - ROLAP, MOLAP, and HOLAP. DSS Broadcaster by MicroStrategy enables output of OLAP or other reports to users via various visual display devices, *e.g.*, computers.

Systems do exist that enable distribution of information by voice using a telephone. Nevertheless, these systems typically do not enable a user to access information through either inbound or outbound calling.

These and other drawbacks exist with current systems.

5    **Summary of the Invention**

An object of the invention is to overcome these and other drawbacks in existing systems.

An object of the invention is to provide a method and system that enable integrated inbound and outbound personalized, dynamic, interactive voice services.

10    One aspect of the invention relates to the creation and deployment of personalized, dynamic and interactive voice services including delivery of information from OLAP systems and other data repositories. A voice service may comprise at least six characteristics: service type, content type, schedule, content definition, personalization settings and error handling settings. Once a voice service is set-up, a user  
15    can subscribe to the voice service. Once a user has subscribed, the user can receive the voice service in at least two ways.

The voice service may be automatically telecast to a subscriber. Based upon the occurrence of a predetermined event (for example, a schedule or a trigger event) a telecast may be executed. Execution of a telecast preferably comprises the steps of generating  
20    voice service content, creating telecast call structure, sending telecast to the service queue, processing a call request and writing subscriber responses. Preferably during each

0 9 8 7 6 5 4 3 2 1 0 9 8 7 6 5 4 3 2 1 0

telecast, a synthesized, natural-sounding voice greets the recipient by name, identifies itself and provides information relevant to the subscriber. The system then either prompts the person for a response or presents a choice of menu options that lead to more dialog.

5           The user may also call in to access a voice service. When a user calls in, the system authorizes access to the system and allows the user to search for a particular voice service. When the desired voice service has been located, the user navigates through the voice service as described above. The system and method of the present invention integrate inbound and outbound calling functionality.

10           In some cases, full execution of an automated voice service may comprise an automatically generated call to a user and the user calling back. For example, if a call is placed to a user and the user is not available an answering machine or other device may take the call. Based on call detection techniques, the system may leave a "Device Message" and not sensitive information. When the user calls back and is identified, the 15           system will know there is a report to be delivered to the user.

              Another embodiment of the invention relates to a system and method for creation and automatic deployment of personalized, dynamic and interactive voice services, including information derived from on-line analytical processing (OLAP) systems and other data repositories. The system and method enables the ability to capture user 20           selections to facilitate closed-loop transaction processing and processing of other requests. One aspect of the invention relates to an interactive voice broadcasting system

and method that enables analytical reporting and advanced transactional services via the telephone or other voice-enabled terminal device. One advantage of the invention is that a voice service may leverage the power of OLAP or other data repository systems and provide critical information to the user, in a timely fashion, by phone. Another advantage 5 of this method and system is that it provides a user with the opportunity to immediately act upon information received during a interactive voice broadcast.

A voice service is created and can have many users subscribed to the voice service. Each user can specify personal preferences for the content and presentation of the contents for a voice service. The specification of the elements of a voice service may 10 be done using a set of interfaces (such as GUIs) that take the form of a voice service wizard.

A voice service includes one or more Dialog elements. Dialog elements may include one or more of Speech elements, Input elements and Error elements. An Input element may include a Prompt element and/or an Option element. An Input element 15 enables the system to request input from the user, capture the input and direct the call flow based on the user's input. An Option element associates a key (e.g., on a telephone touch pad dial) with a destination Dialog that is executed when that number is pressed by a user during an interactive voice broadcast. A Prompt requests a user to enter numeric or other information. An Input element may enable a user to request, during an interactive 20 voice broadcast, a transaction, a service or other requests. The term transactions, services and requests are to be interpreted broadly.

According to one embodiment, the user's responses to Input elements are stored during an interactive voice broadcast and, during or after the voice broadcast, the stored information is processed by the system or is passed to another system or application for processing. The transaction (or other request) processing can be accomplished either in 5 real-time, during the voice broadcast, or after the interactive voice broadcast is completed. The results or confirmation of a transaction or other request can be provided to the user during the call or subsequently.

Once a voice service is created, the system monitors predetermined conditions to determine when the voice service should be executed. Each voice service is executed 10 when one or more predetermined conditions are met as specified during creation of the voice service. For example, a voice service may be executed according to a predetermined schedule (time-based) or based on a triggering event (e.g. one or more conditions are met based on the output of an OLAP or other report).

When the predetermined condition is satisfied, the voice service is executed. 15 Executing a voice service, includes the steps of generating the content specified by the voice service and the user preferences. Some users may have identical personalization options and, thus, a single call structure may be generated for a group of users with identical personalization options. The content of the voice service includes the information that is to be delivered to users of that voice service, and the Input to be 20 requested from the user, among other things. The content may include, for example, static text messages, dynamic content (e.g. text based on information output from an

OLAP report, other database or other sources) or blended text (e.g. static text combined with dynamic content).

This and other content are formatted in an Active Voice Page (AVP). An AVP contains the call structure and data. The AVP contains data at various hierarchical levels that are defined by the Dialog elements defined for each voice service. The active voice pages are used to help govern the interaction between the call server and the user during an IVB. According to one embodiment, the content is formatted, into an AVP e.g., using XSL stylesheets so the AVP is in an XML-based language. According to one embodiment, the XML-based language used is a novel language referred to as TML (discussed below). The AVP is sent to a call server along with style properties for each user. The style properties of a user help determine the behavior of the call server during an interactive voice broadcast. A unique AVP is generated for each user scheduled to receive a voice service.

When a user is called by the call server, information is passed through a T-T-S engine and delivered to the user through a voice-enabled terminal device. Preferably, the structure of each call is dynamic, driven by current data values and is personalized based on a user profile established during subscription to a voice service. During a typical interactive voice broadcast, a synthesized, natural sounding voice greets the recipient by name, identifies itself, provides information relevant to the user and enables a user to provide input back to the system.

An IVB is a voice-enabled interaction with a user having a dynamic structure controlled by the AVP for the particular user. The IVB may be delivered using real-time, on-the-fly speech generation. During an IVB, information is exchanged between the call server and a user according to the AVP. The system executes dialogs by reading 5 messages to the user and, eliciting input from the user. For example, the user may press buttons on a telephone touch pad dial to select an option or to provide numeric or alphanumeric input. Each response provided by a user may transfer control of the IVB to a different part of the AVP.

During or after the IVB, the user's responses may be processed by the system or 10 other applications. The AVP may contain pointers to other applications and embedded statements such that when a user exercises an option, the system performs a requested operation and returns the results to the user during the IVB. For example, by exercising an option, a user may request that a real-time database query be performed. When the user selects such an option, control is shifted to a portion of the AVP that contains an 15 embedded SQL statement that is made against a database.

When a user has worked through selected dialogs of the AVP, the IVB is terminated. That is, a user likely will not work through all of the available dialogs during an IVB. Rather, the user's inputs and option selections determine which the available dialogs are encountered during any given IVB.

20 Other features and advantages of the present invention will be apparent to one of ordinary skill in the art upon reviewing the detailed description of the present invention.

### **Brief Description of the Drawings**

Fig. 1a is a flow chart of a method in accordance with an embodiment of the present invention.

5 Fig. 1b is a flow chart indicating a method of generating a voice service according to one embodiment of the present invention.

Fig. 1c is a flow chart indicating a method for interactive voice broadcasting according to an embodiment of the present invention.

10 Fig. 2 is a flow chart that schematically indicates call flow according to one embodiment of the present invention.

Fig. 3a is a schematic block diagram of a system in accordance with an embodiment of the present invention.

Fig. 3b is a schematic block diagram of an intelligence server according to an embodiment of the present invention.

15 Fig. 3c is a schematic block diagram of call server according to an embodiment of the present invention.

Fig. 4 is a schematic block diagram of a commercial transaction processing system according to an embodiment of the present invention.

20 Fig. 5 is a flow chart of a method of using a voice service bureau according to an embodiment of the present invention.

Fig. 6a is a schematic block diagram of a voice service system incorporating a voice service bureau according to one embodiment of the present invention.

Fig. 6b is block diagram of a primary voice bureau according to one embodiment of the present invention.

5 Fig. 6c is a block diagram of a backup voice bureau according to another embodiment of the present invention.

Fig. 7 is a flow chart illustrating a method for integrating inbound and outbound voice services.

10 Fig. 8 is a block diagram of a call server configured to provide integrated inbound and outbound voice services.

#### Detailed Description of the Preferred Embodiments

According to one embodiment of invention, a system and method that provide integrated inbound and outbound voice services are provided. The invention relates to a 15 system and method that delivers voice services in real-time via an IVB or similar interaction with a user. One exemplary voice service system is described below in conjunction with Figures 1-6. In certain situations, for example when a user misses an IVB, it is desirable for a voice service system to enable inbound calling. Therefore, according to one embodiment, a method and system for providing integrated inbound and 20 outbound voice services is disclosed.

A method for providing inbound access to voice services according to one embodiment of the present invention is shown in Figure 7. According to Figure 7, the method begins with receipt of a call requesting voice services in step 1210. To help ensure system integrity and to prevent unauthorized access, a call request is authenticated 5 in step 1220. According to one embodiment, each incoming caller is automatically prompted to enter a login identifier and a PIN. According to another embodiment, an automatic number identification system is used, in addition to a login identifier and PIN system, to determine whether or not the user is calling from an authorized device. According to another embodiment, speaker recognition technology is utilized to identify 10 a caller. According to this embodiment, voice prints for each user of the voice service system are stored as identifiers. When an inbound call is connected, pattern matching techniques are used verify the user's speech against the previously stored voice prints. Other security measures are possible.

In step 1230, a voice page is located. As explained above, a telecast of a voice 15 service is driven by an active voice page. Accordingly, a user calling in to access voice services locates the desired active voice page. According to one embodiment, the user is automatically placed into an active voice page of a voice service that the user missed. That is, the system chooses an active voice page that it was unable to deliver. According 20 to this embodiment, when a call is undeliverable (e.g., when an answering machine picks up), the active voice page for that call is placed in memory in a "voice site" table or as an active voice page on a web site and addressed using the user's identification. When the

000039-000039-120290

user calls in to retrieve the voice service, after the user logs in, the table or web site will be searched for an active voice page that corresponds to their identification. If such a page exists, it is executed by the call server.

Other possibilities exist for accessing active voice pages through inbound calling.

5 According to another embodiment, the system maintains a log of all voice services sent and provides an inbound user an option to select one of their previous voice services. According to another embodiment, an inbound caller is automatically placed into an active voice page that presents the user with an option to select one of that user's most frequently used services. According to still another embodiment, the user is allowed to 10 search for past active voice pages by date or content. For example, the user may be prompted to enter a date on or near which the desired voice page was executed. According to another embodiment, the user may use the telephone keys to enter a search term and search the content of any previously executed active voice page that they are authorized to access or that is not secure.

15 Once an active voice page is located, the user navigates through the active voice page in step 1240. As described above, a user navigates through an active voice by exercising options, responding to prompts and otherwise entering input to the system. An inbound calling system would thus have access to the full functionality of the voice service system described below in conjunction with Figures 1-6.

20 Figure 8 depicts a block diagram of a call server 18a that enables integrated inbound and outbound calling. In addition to the modules depicted in call server 18 of

Figure 3, call server 18a comprises call receiver module 1817, security module 1818 and search module 1819. Moreover, in the system for permitting inbound and outbound calling, call database 1811 has been replaced with an enhanced call database 1811a.

In order to receive inbound calls, call server 18a comprises call receiver module 1817. Although, call server 18 discussed above contains hardware permitting reception of calls as well as transmission of calls, it is not set up to receive calls. Call receiver module 1817 enables call server 18a to receive calls and routes the incoming calls to security module 1818. According to one embodiment, call receiver module comprises a software component designed to configure call server 18a to receive calls. Other embodiments are possible.

Received calls are forwarded to security module 1818 for authentication. According to one embodiment discussed above, incoming calls are authenticated using login I.D.'s and passwords. According to another embodiment, automatic number identification software is used to identify and authenticate callers. According to another embodiment, speech recognition and pattern matching techniques are used to identify a caller.

Authenticated calls may search for an active voice page using search module 1819. According to one embodiment, search module 1819 comprises a search engine designed specifically to search active voice pages. According to one embodiment discussed above, active voice pages utilize an XML-based language and search module 1819 comprises an XML-based search engine. According to another embodiment, search

module 1819 comprises a SQL engine designed to make queries against a relational or other type of database.

The active voice pages that are being search are stored in enhanced call database 1811a. In addition to its facilities to queue and log calls, enhanced call database 1811  
5 includes facilities to catalog active voice pages. According to one embodiment, enhanced call database comprises a relational or other type of database. According to this embodiment, enhanced call database is used to store and categorize active voice pages and corresponding parameters, such as expiration dates for active voice pages. Other storage facilities are possible.

10 The method and system for providing integrated inbound and outbound calling may advantageously be used in conjunction with method and system explained in conjunction with Figures 1-6 below.

According to another embodiment of the present invention, a system is provided for automatic, interactive, real-time, voice transmission of OLAP output to one or more subscribers. For example, subscribers may be called by the system, and have content delivered audibly over the telephone or other voice-enabled terminal device. During the  
15 IVB, information may be exchanged between the system and a subscriber. The system conveys content to the subscriber and, the subscriber may respond by pressing one or more buttons on a telephone touch pad dial (or other input mechanism) to hear more information, to exercise options, or to provide other responses. This interaction shapes  
20 the structure of a basic exchange between the system and the subscriber. During or after

000039-0202-000000000000

the call is terminated, the subscriber's responses may be stored and processed (e.g., by other applications).

According to one embodiment of the present invention, a method for automatic, interactive, real-time, voice transmission of OLAP output to one or more subscribers is provided. Figure 1a depicts a flow chart of a method for automatic, interactive, real-time, voice transmission of OLAP output according to one embodiment. The method begins in step 110 with the creation of a voice service (e.g., by a system administrator or user). A voice service is created using, for example, a voice service wizard which may comprise a series of interfaces. One embodiment of a method for creating a voice service is explained in more detail below in conjunction with Figure 1b. One embodiment of a voice service wizard is explained below in conjunction with Figure 3b.

After a voice service is created, users may subscribe or be subscribed to the voice service (step 120), for example, by using a subscription interface. According to one embodiment, users may subscribe to an existing voice service over the telephone or by web-based subscription. A user may also be subscribed programmatically. In other embodiments, a user may subscribe to a voice service via electronic mail. Not every voice service created in step 110 is available for subscription. More specifically, according to another embodiment, only a user with appropriate access, such as the creator of the service, is allowed to subscribe himself or others to a service. Such a security feature may be set when the voice service is created.

In step 130, a scheduling condition or other predetermined condition for the voice services is monitored to determine when they are to be executed. That is, when a voice service is created or subscribed to, the creator or user specifies when the voice service is to be executed. A user may schedule a voice service to execute according to the date, the 5 time of day, the day of the week, etc. and thus, the scheduling condition will be a date, a time, or a day of the week, either one time or on a recurring basis. In the case of an alert service, discussed in more detail below, the scheduling condition will depend on satisfaction of one or more conditions. According to one embodiment, the condition(s) to be satisfied is an additional scheduling condition. According to another embodiment, to 10 another embodiment, a service may be executed “on command” either through an administrator or programmatically through an API. Scheduling of voice services is discussed in more detail below.

The method continues monitoring the scheduling condition for voice services until a scheduling condition is met. When a scheduling condition is met, that voice 15 service is executed. The execution of a voice service involves, inter alia, generating the content for the voice service, and structuring the voice service to be telecast through a call server. The execution of a voice service is explained in detail in conjunction with Figure 1c.

An example of a telecast is as follows.

**PERSONALIZED GREETING**

Hello Joe, this is your stock update.

**PIN VERIFICATION**

5 Please enter your six digit PIN number

(Joe enters his PIN, using the keypad dial on his telephone.)

**MENU OPTIONS**

Your portfolio was up by \$1000 today.

10 Please select:

1. To get a portfolio stock update
2. To conduct a transaction

(Joe presses 2)

15 **SUB MENU**

Thank you, Joe! Please select a ticker.

1. PQT
2. TQP
3. Listen to options again
4. Return to main menu

20 (Joe presses 1.)

## SUB MENU

Would you like to buy or sell stock? Please press:

1. To sell stock
2. To buy stock

(Joe presses 1.)

## SUB MENU

How many shares of PQT would you like to sell today? Please press:

1. To sell 50 shares
2. To sell 100 shares
3. To sell 200 shares
4. To sell another quantity

(Joe presses 2.)

15

## SUB MENU

You selected 2. You want to sell 100 shares of PQT. Please press:

1. If this is correct
2. If this is incorrect
3. If you want to change the number of shares you want to buy.

(Joe presses 1.)

**END VOICE SERVICE/TERMINATE TELECAST**

Thank you for using our voice interactive broadcasting service, Joe. We will call you

5 back when your transaction is completed. Good-bye.

As can be seen from the above sample during an IVB, the user is presented with information, *e.g.*, the status of his portfolio, and is presented options related to that report, *e.g.*, the option to buy or sell stock.

10 According to one embodiment, a voice service is constructed using service wizard. A voice service is constructed using several basic building blocks, or elements, to organize the content and structure of a call. According to one embodiment, the building blocks of a voice service comprise elements of a markup language. According to one particular embodiment, elements of a novel markup language based on XML 15 (TML) are used to construct voice services. Before explaining how a telecast is constructed, it will be helpful to define these elements.

The DIALOG element is used to define a unit of interaction between the user and the system and it typically contains one or more of the other elements. A DIALOG can not be contained in another element.

20 The SPEECH element is used to define text to be read to a user.

DOCUMENT NUMBER

The INPUT element is used to define a section of a DIALOG that contains interactive elements, *i.e.*, those elements that relate to a response expected from a user and its validation. An INPUT element may contain OPTION, PROMPT and ERROR elements.

5 An OPTION element identifies a predefined user selection that is associated with  
a particular input. According to one embodiment, OPTION elements are used to  
associate one or more choices available to a user with telephone keys.

A PROMPT element defines a particular input that is expected. According to one embodiment, a PROMPT element defines that a sequence or number of key presses from a telephone keypad is expected as input. Unlike an OPTION Element, a PROMPT Element is not associated with predefined user selections.

The PROMPT and OPTION elements may also be used to request user input using natural language. According to one embodiment, speech recognition technology is used to enable a user to respond to a PROMPT element or to select an OPTION element 15 verbally by saying a number, e.g., "one.". The verbal response is recognized and used just as a keypress would be used. According to another embodiment, the user may provide a free form verbal input. For example, a PROMPT element may request that a user enter, e.g., the name of a business. In response the user speaks the name of a business. That spoken name is then resolved against predetermined standards to arrive at 20 the input. Word spotting and slot filling may also be used in conjunction with such a PROMPT to determine the user input. For example, a PROMPT may request that the

user speak a date and time, e.g., to choose an airline flight or to make a restaurant reservation. The user's spoken response may be resolved against known date and time formats to determine the input. According to another embodiment, a PROMPT is used to request input using natural language. For instance, in conjunction with a voice service to

5 be used to make travel plans, instead of having separate PROMPT elements request input for flight arrival, departure dates and locations, a single natural language PROMPT may ask, "Please state your travel plan." In response, the user states 'I'd like to go from Washington DC to New York city on the 3<sup>rd</sup> of January and return on the 3<sup>rd</sup> of February.

10 This request would be processed using speech recognition and pattern matching technology to derive the user's input.

The ERROR element is used to define the behavior of the system if a user makes an invalid response such as touching a number that has not been associated with an OPTION element, or entering input that does not meet the criteria of a PROMPT element. A SYS-ERROR element defines a handler for certain events, such as expiration

15 of the waiting time for a user response.

The FOR-EACH element is used to direct the system to loop through a list of variables *e.g.*, variables contained in a database report, or variables from a user input, to dynamically generate speech from data.

In addition to the elements described above, there are two features that maximize

20 an administrator's ability to design voice services. Call Flow Reports enable an administrator to generate the structure of a call based on the content of an report *e.g.*,

from an OLAP system or other data repository. For example, the options presented to a user in a PROMPT element may be made to correspond to the row of a data report. According to one embodiment, report data is converted into options by application of an XSL (extensible style sheet language) style sheet. The result of this application is

5 inserted into the static call structure when the voice service is executed.

The use of an XSL style sheet is a feature that maximizes an administrator's voice service building ability. As discussed above, they are used to create dynamic call structure that depends on data report output. They may also be used to generate a text string that comprises the message to be read to a user at any point in a call.

10 A method for creating a voice service according to one embodiment will now be explained in conjunction with Figure 2. The method begins in step 210 by naming the voice service. Then, in step 220 various scheduling parameters of the voice service are defined. In step 250 the service content is defined. And, in step 260, the personalization modes, or style properties are selected for the voice service.

15 According to one embodiment, in step 210, a voice service is named and a description of the voice service provided. By providing a name and description, a voice service may be uniquely identified. An interface is provided for prompting input of the name of the service to be created or edited. An input may also be provided for a written description. An open typing field would be one option for providing the description input. According to another embodiment, if an existing call service has been selected to

20 edit, the service name field may not be present or may not allow modification.

In step 220, conditions for initiating the service are selected. This may include selecting and defining a service type. At least two types of services may be provided based on how the services are triggered. A first type of service is run according to a predetermined schedule and output is generated each time the service is run. A second 5 type of service, an alert service, is one that is run periodically as well, however, output is only generated when certain criteria is satisfied. Other service types may be possible as well. In one embodiment the administrator is prompted to choose between a scheduled service or an alert service. An interface may provide an appropriate prompt and some means for selecting between a scheduled service and an alert service. One option for 10 providing the input might be an interface with a two element toggle list.

In one embodiment, a set of alert conditions is specified to allow the system to evaluate when the service should be initiated if an alert type service has been selected. In one embodiment, a report or a template/filter combination upon which the alert is based is specified. Reports and template/filter combinations may be predefined by other objects 15 in the system including an agent module or object creation module. According to one embodiment, an agent module, such as DSS agent™ offered by MicroStrategy, may be used to create and define reports with filters and template combinations, and to establish the alert criteria for an alert service. According to another embodiment, an interface is be provided which includes a listing of any alert conditions presently selected for the voice 20 service. According to this embodiment, the interface may comprise a display window. A browse feature may take the user to a special browsing interface configured to select a

PAGES 14 OF 20

report or filter-template combination. One embodiment of an interface for selecting reports and filter-template combinations is described below. Once a report or filter and template combination is chosen, the alerts contained in the report or filter and template combination may be listed in the display window of the interface.

5        In step 220, the schedule for the service is also selected. According to one embodiment, predefined schedules for voice services may be provided or a customized schedule for the voice service may be created. If a new schedule is to be created, a module may be opened to enable the schedule name and parameters to be set. Schedules may be run on a several-minute, hourly, daily, monthly, semi-annual, annual or other 10 bases, depending upon what frequency is desired. According to one embodiment, an interface is provided that allows the administrator to browse through existing schedules and select an appropriate one. The interface may provide a browsing window for finding existing schedule files and a "new schedule" feature which initiates the schedule generating module. In one embodiment, schedules may not be set for alert type services.

15      However, in some embodiments, a schedule for evaluating whether alert conditions have been met may be established in a similar manner.

          In step 220, the duration of the service is also set. Service duration indicates the starting and stopping dates for the service. Setting a service duration may be appropriate regardless of whether a scheduled service or alert type service has been selected. The 20 start date is the base line for the scheduled calculation, while the end date indicates when the voice service will no longer be sent. The service may start immediately or at some

later time. According to one embodiment, interface is provided to allow the administrator to input start and end dates. The interface may also allow the administrator to indicate that the service should start immediately or run indefinitely. Various calendar features may be provided to facilitate selection of start and stop dates. For example, a calendar that specifies a date with pull-down menus that allow selection of a day, month and year may be provided according to known methods of selecting dates in such programs as electronic calendar programs and scheduling programs used in other software products.

One specific aid that may be provided is to provide a calendar with a red circle indicating the present date and a blue ellipse around the current numerical date in each subsequent month to more easily allow the user to identify monthly intervals. Other methods may also be used.

In step 220, a voice service may also be designated as a mid-tier slicing service. In one embodiment, mid-tier slicing services generate content and a dynamic subscriber list in a single query to an OLAP system. According to one embodiment, in a mid-tier slicing service a single database query is performed for all subscribers to the service. The result set developed by that query is organized in a table that contains a column that indicates one or more users that each row of data is applicable to.

In step 250, the content of the voice service is defined. Defining the content of the voice service may include selecting the speech to be delivered during the voice service broadcast (content), the structure of dialogs, menus, inputs, and the background procedures which generate both content and structure. In one embodiment, defining

voice service content establishes the procedures performed by the vss server to assemble one or more active voice pages in response to initiation of the voice service. According to one embodiment, defining service content involves establishing a hierarchical structure of TML elements which define the structure and content of a voice service. All of the 5 elements in a given service may be contained within a container.

The personalization type is selected in step 260. Personalization type defines the options that the administrator will have in applying personalization filters to a voice service. According to one embodiment, a personalization filter is a set of style properties that can be used to determine what content generated by the service will be delivered to 10 the individual user and in what format it will be delivered. In one embodiment, personalizing the delivery format may include selection of style properties that determine the sex of the voice, the speed of the voice, the number of call back attempts, etc. Personalization filters may exist for individual users, groups of users, or types of users. According to one embodiment, personalization filters may be created independent of the 15 voice service. According to this embodiment, a voice service specifies what filters are used when generating IVBs. Some personalization type options may include: allowing no personalization filters; allowing personalization filters for some users, but not requiring them; and requiring personalization filters for all interactive voice broadcasts made using the service.

000039-000039-000039-000039-000039

According to one embodiment, specifying personalization type is accomplished by administrator input through an interface. The interface may offer a toggle list with the three options: required personalization, optional personalization, and no personalization.

The voice service may be stored in a database structure to enable users to retrieve 5 predefined voice services and to subscribe to these services, for example, through subscription interfaces explained in conjunction Figures 3a-3c or otherwise. An interface informing the administrator that creation of the voice service is complete may also be provided.

According to one embodiment, the method of Figure 1b also comprises an error 10 condition step. An error condition step may be used to enable administrators to specify “error” conditions and the handling of those conditions. For example, an “error” condition may comprise a notification that a server is “down” or that there is no data to be returned. An administrator may specify particular actions to be performed by the system in response to one or more error conditions. For example, an administrator may specify 15 an “addressing” error (e.g., disconnected number) and indicate a particular action to be performed in response to an “addressing” error (e.g., notify system administrator). Other error conditions might include: an alert report encountering an error and returning no data; a subscriber lacking the required personalization filter for the service; errors occurring in the generation of one or more reports; or reports returning no data. Various 20 other conditions and actions may be specified. Certain error conditions may be predetermined for the system, but an administrator may have reasons for supplementing

or diverging from the predetermined error conditions. According to one particular embodiment, error conditions are specified using the ERROR and SYS-ERROR elements.

In one embodiment, setting error conditions may be accomplished using an error handling interface. The interface may allow the administrator to select either default error handling, or to customize error handling using a module for defining error handling. If default handling is selected, the system uses established settings. If customized handling is chosen, the user may use a feature to access the appropriate interface for the error handling module.

Servers may have limited capacity to perform all of the actions required of them simultaneously, the method of Figure 1bcomprises a step for prioritizing the execution and delivery of voice services. Prioritization may establish the order in which the voice service system allocates resources for processing voice service and delivering the IVB. According to one embodiment, assigning priority to a voice service establishes priority for queries to the database system, formatting the voice service, or IVBs. Any criteria may be used for establishing priority . According to one embodiment, priority is established based on service content. According to another embodiment, priority is based on service destination. According to another embodiment, priority may be established based on the type of voice service, *i.e.*, alert vs. scheduled. Any number of procedures or criteria for denoting relative importance of service delivery may be established.

000039-0000039

In one embodiment, an interface is provided for defining the priority of the voice service being created or edited. According to one embodiment, the interface comprises a screen including option boxes with pull down menus listing the number of different prioritization options.

5 Another aspect of the invention relates to a method for executing a voice service. Figure 1c depicts one example of a flow chart for executing a voice service. In step 310, the content of a voice service is generated. In step 320, the call structure of a telecast is created via Active Voice Pages. In step 330, the AVPs are put in a call database for processing *e.g.*, in a call queue. In step 340, the call request is processed and an 10 interactive voice broadcast with the user is implemented. In step 350, user's responses are written back to the voice service system (*e.g.*, the Active Voice Page). Each of these steps will be explained in more detail below.

According to one embodiment, content is created in step 310 as follows. A voice service execution begins by running scheduled reports, queries or by taking other action 15 to determine whether the service should be sent. The subscribers for the service are then resolved. Datasets are generated for each group of subscribers that has unique personalization criteria.

Call structure may be created (step 320) as follows. An AVP contains data at various hierarchical content levels (nodes) that can be either static text or dynamic 20 content. Static text can be generated *e.g.*, by typing or by incorporating a text file. Dynamic content may be generated *e.g.*, by inserting data from a data report using a grid

an/or an XSL stylesheet. Moreover, content is not limited to text based information. Other media, such as, sound files, may be incorporated into the AVP. The call data (for example, at a particular level) may be the text that is converted to speech and played when the recipient encounters the node.

5        According to another embodiment, call content may include “standard” active voice pages that are generated and inserted into a database or Web Server where the pages are periodically refreshed. According to one particular embodiment, the active voice page that is generated for a user contains links to these standard active voice pages. The links may be followed using a process similar to web page links.

10       The call structure may comprise either a static structure that is defined in the voice service interfaces *e.g.*, by typing text into a text box and/or a dynamic structure generated by grid/XSL combinations. The dynamic structure is merged with static structure during the service execution. A single call structure is created for each group of users that have identical personalization properties across all projects because such a group will receive 15       the same content.

After a call structure is generated, in step 330, it is sent to a call database *e.g.*, call database 1811 shown in Figure 3c along with the addresses and style properties of the users. The style properties govern the behavior of a call server 18 in various aspects of the dialog with a user. Call server 18 queries call database 1811 for current call requests 20       and places new call requests in its queue.

In step 340, a call request is processed. A call is implemented on call server 18 using one of several ports that are configured to handle telephone communication. When a port becomes available, the call request is removed from the queue and the call is made to the user. As the user navigates through an active voice page, *e.g.*, by entering input 5 using the key pad or by speaking responses, call/content is presented by converting text to speech in text-to-speech engine 1814. User input during the call may be stored for processing. According to another embodiment, user responses and other input may also be used to follow links to other active voice pages. For example, as explained above, “standard” active voice pages may be generated and inserted into a database or Web 10 Server. Then, when a user’s voice service is delivered, that voice service may contain links to information that may be accessed by a user. A user may access those standard active voice pages by entering input in response to OPTION or PROMPT elements.

In step 350, user responses are stored by the system. According to one embodiment, user responses are stored in a response collection defined by the active 15 voice page. A voice service may specify that a subscriber return information during an IVB so that another application may process the data. For instance, a user may be prompted to purchase a commodity and be asked to enter or speak the number of units for the transaction. During or after an IVB, the subscriber’s responses are written to a location from which they can be retrieved for processing (*e.g.*, by an external 20 application).

Fig. 2 is an example of an IVB with interactive call flow. An IVB usually contains a greeting message that addresses the targeted user, identifies the name of the calling application, and states the purpose of the call and/or presents summary metrics. The voice service system can also implement a PIN verification protocol, if this layer of security is required. The main menu structure of an IVB can contain a number of options that lead to sub-menu structures. A menu can also contain prompts for the user to enter numerical information using a telephone touch pad dial. A node along the hierarchical menu structure may have options to return the user to a higher level.

Fig. 3 depicts an embodiment of a system according to one embodiment of the present invention. Preferably, the system comprises database system 12, a DSS server 14, voice service server 16, a call server 18, subscription interface 20, and other input/files 24.

Database system 12 and DSS server 14 comprise an OLAP system that generates user-specified reports from data maintained by database system 12. Database system 12 may comprise any data warehouse or data mart as is known in the art, including a relational database management system (“RDBMS”), a multidimensional database management system (“MDDBMS”) or a hybrid system. DSS server 14 may comprise an OLAP server system for accessing and managing data stored in database system 12. DSS server 14 may comprise a ROLAP engine, MOLAP engine or a HOLAP engine according to different embodiments. Specifically, DSS server 14 may comprise a multithreaded server for performing analysis directly against database system 12.

According to one embodiment, DSS server 14 comprises a ROLAP engine known as DSS Server™ offered by MicroStrategy.

Voice service server (VSS) 16, call server 18 and subscription interface 20 comprise a system through which subscribers request data and reports *e.g.*, OLAP reports 5 through a variety of ways and are verbally provided with their results through an IVB. During an IVB, subscribers receive their requested information and may make follow-up requests and receive responses in real-time as described above. Although the system is shown, and will be explained, as being comprised of separate components and modules, it should be understood that the components and modules may be combined or further 10 separated. Various functions and features may be combined or separated

Subscription interface 20 enables users or administrators of the system to monitor and update subscriptions to various services provided through VSS 16. Subscription interface 20 includes a world wide web (WWW) interface 201, a telephone interface 202, other interfaces as desired and a subscriber API 203. WWW interface 201 and telephone 15 interface 202 enable system 100 to be accessed, for example, to subscribe to voice services or to modify existing voice services. Other interfaces may be used. Subscriber API 203 provides communication between subscription interface 20 and VSS 16 so that information entered through subscription interface 20 is passed through to VSS 16.

Subscription interface 20 is also used to create a subscriber list by adding one or 20 more subscribers to a service. Users or system administrators having access to VSS 16 may add multiple types of subscribers to a service such as a subscriber from either a static

recipient list (SRL) (e.g., addresses and groups) or a dynamic recipient list (DRL) (described in further detail below). The subscribers may be identified, for example, individually, in groups, or as dynamic subscribers in a DRL. Subscription interface 20 permits a user to specify particular criteria (e.g., filters, metrics, etc.) by accessing

5 database system 12 and providing the user with a list of available filters, metrics, etc.

The user may then select the criteria desired to be used for the service. Metadata may be used to increase the efficiency of the system.

A SRL is a list of manually entered names of subscribers of a particular service.

The list may be entered using subscription interface 20 or administrator console 161.

10 SRL entries may be personalized such that for any service, a personalization filter (other than a default filter) may be specified. A SRL enables different personalizations to apply for a login alias as well. For example, a login alias may be created using personalization engine 1632. Personalization engine 1632 enables subscribers to set preferred formats, arrangements, etc. for receiving content. The login alias may be used to determine a 15 subscriber's preferences and generate service content according to the subscriber's preferences when generating service content for a particular subscriber.

A DRL may be a report which returns lists of valid user names based on predetermined criteria that are applied to the contents of a database such as database system 12. Providing a DRL as a report enables the DRL to incorporate any filtering 20 criteria desired, thereby allowing a list of subscribers to be derived by an application of a filter to the data in database system 12. In this manner, subscribers of a service may be

00000000000000000000000000000000

altered simply by changing the filter criteria so that different user names are returned for the DRL. Similarly, subscription lists may be changed by manipulating the filter without requiring interaction with administrator console 161. Additionally, categorization of each subscriber may be performed in numerous ways. For example, subscribers may be  
5 grouped via agent filters. In one specific embodiment, a DRL is created using DSS Agent™ offered by MicroStrategy.

VSS 16 is shown in more detail in Figure 3b. According to one embodiment, VSS 16 comprises administrator console 161, voice service API 162 and backend server 163. Administrator console 161 is the main interface of system 100 and is used to view  
10 and organize objects used for voice broadcasting. Administrator console 161 provides access to a hierarchy of additional interfaces through which a system administrator can utilize and maintain system 100. Administrator console 161 comprises system administrator module 1611, scheduling module 1612, exceptions module 1613, call settings module 1614, address handling module 1615, and service wizard 1616.

15 System administrator module 1611 comprises a number of interfaces that enable selection and control of the parameters of system 100. For example, system administrator module 1611 enables an administrator to specify and/or modify an email system, supporting servers and a repository server with which system 100 is to be used. System administrator 1611 also enables overall control of system 100. For example, system  
20 administrator module is also used to control the installation process and to start, stop or

idle system 100. According to one embodiment, system administrator 1611 comprises one or more graphical user interfaces (GUIs).

Scheduling module 1612 comprises a number of interfaces that enable scheduling of voice services. Voice services may be scheduled according to any suitable methodology, such as according to scheduled times or when a predetermined condition is met. For example, the predetermined condition may be a scheduled event (time-based) including, day, date and/or time, or if certain conditions are met. In any event, when a predetermined condition is met for a given service, system 100 automatically initiates a call to the subscribers of that service. According to one embodiment, scheduling module 10 1612 comprises one or more GUIs.

Exceptions module 1613 comprises one or more interfaces that enable the system administrator to define one or more exceptions, triggers or other conditions. According to one embodiment, exceptions module 1613 comprises one or more GUIs.

Call settings module 1614 comprises one or more interfaces that enable the system administrator to select a set of style properties for a particular user or group of users. Each particular user may have different options for delivery of voice services depending on the hardware over which their voice services are to be delivered and depending on their own preferences. As an example of how the delivery of voice services depends on a user's hardware, the system may deliver voice services differently 15 depending on whether the user's terminal device has voice mail or not. As an example depending on how the delivery of voice services depends on a user's preferences, a user may chose 20

GARDNER 1000039

to have the pitch of the voice, the speed of the voice or the sex of the voice varied depending on their personal preferences. According to one embodiment, call settings module 1614 comprises one or more GUIs.

Address handling module 1615 comprises one or more interface that enable a system administrator to control the address (e.g., the telephone number) where voice services content is to be delivered. The may be set by the system administrator using address handling module 1615. According to one embodiment, address handling module 1615 comprises one or more GUIs.

Voice service wizard module 1616 comprises a collection of interfaces that enable a system administrator to create and/or modify voice services. According to one embodiment, service wizard module 1616 comprises a collection of interfaces that enable a system administrator to define a series of dialogs that contain messages and inputs and determine the call flow between these dialogs based on selections made by the user. The arrangement of the messages and prompts and the flow between them comprises the structure of a voice service. The substance of the messages and prompts is the content of a voice service. The structure and content are defined using service wizard module 1616.

Voice service API 162 (e.g., MicroStrategy Telecaster Server API) provides communication between administrator console 161 and backend server 163. Voice Service API 162 thus enables information entered through administrator console 161 to be accessed by backend server 163 (e.g., MicroStrategy Telecaster Server).

Backend server 163 utilizes the information input through administrator console 161 to initiate and construct voice services for delivery to a user. Backend server 163 comprises report formatter 1631, personalization engine 1632, scheduler 1633 and SQL engine 1634. According to one embodiment, backend server 163 comprises

5 MicroStrategy Broadcast Server. Report formatter 1631, personalization engine 1632, and scheduler 1633 operate together, utilizing the parameters entered through administrator console 161, to initiate and assemble voice services for transmission through call server 18. Specifically, scheduler 1633 monitors the voice service schedules and initiates voice services at the appropriate time. Personalization engine 1632 and

10 report formatter 1631 use information entered through service wizard 1616, exceptions module 1613, call settings module 1614, and address module 1615, and output provided by DSS server 14 to assemble and address personalized reports that can be sent to call server 18 for transmission. According to one embodiment, report formatter 1631 includes an XML based markup language engine to assemble the voice services. In a particular

15 embodiment, report formatter includes a Telecaster Markup Language engine offered by MicroStrategy Inc. to assemble the call content and structure for call server 18.

SQL engine 1634 is used to make queries against a database when generating reports. More specifically, SQL engine 1634 converts requests for information into SQL statements to query a database.

20 Repository 164 may be a group of relational tables stored in a database. Repository 164 stores objects which are needed by system 100 to function correctly.

More than one repository can exist, but preferably the system 100 is connected to only one repository at a time.

According to one embodiment, a call server 18 is used to accomplish transmission of the voice services over standard telephone lines. Call server 18 is shown in more detail in Figure 3c. According to one embodiment, call server 18 comprises software components 181 and hardware components 182. Software components 181 comprise call database 1811, mark-up language parsing engine 1812, call builder 1813, text-to-speech engine 1814, response storage device 1815 and statistic accumulator 1816.

Call database 1811 comprises storage for voice services that have been assembled in VSS 16 and are awaiting transmission by call server 18. These voice services may include those awaiting an initial attempt at transmission and those that were unsuccessfully transmitted (e.g., because of a busy signal) and are awaiting retransmission. According to one embodiment, call database 1811 comprises any type of relational database having the size sufficient to store an outgoing voice service queue depending on the application. Call database 1811 also comprises storage space for a log of calls that have been completed.

Voice services stored in call database 1811 are preferably stored in a mark-up language. Mark-up language parsing engine 1812 accepts these stored voice services and separates the voice services into parts. That is, the mark-up language version of these voice services comprises call content elements, call structure elements and mark-up

language instructions. Mark-up language parsing engine 1812 extracts the content and structure from the mark-up language and passes them to call builder 1813.

Call builder 1813 is the module that initiates and conducts the telephone call to a user. More specifically, call builder dials and establishes a connection with a user and  
5 passes user input through to markup language parsing engine 1812. In one embodiment, call builder 1813 comprises “Call Builder” software available from Call Technologies Inc. Call builder 1813 may be used for device detection, line monitoring for user input, call session management, potentially transfer of call to another line, termination of a call, and other functions.

10 Text-to-speech engine 1814 works in conjunction with mark-up language parsing engine 1812 and call builder 1813 to provide verbal communication with a user. Specifically, after call builder 1813 establishes a connection with a user, text-to-speech engine 1814 dynamically converts the content from mark-up language parsing engine 1812 to speech in real time.

15 A voice recognition module may be used to provide voice recognition functionality for call server 181. Voice recognition functionality may be used to identify the user at the beginning of a call to help ensure that voice services are not presented to an unauthorized user or to identify if a human or machine answers the call. This module may be a part of call builder 1813. This module may also be used to recognize spoken  
20 input (say “one” instead of press “1”), enhanced command execution (user could say “transfer money from my checking to savings”), enhanced filtering (instead of typing

stock symbols, a user would say “MSTR”), enhanced prompting, (saying numeral values).

User response module 1815 comprises a module that stores user responses and passes them back to intelligence server 16. Preferably, this is done within an AVP.

5 During a telephone call, a user may be prompted to make choices in response to prompts by the system. Depending on the nature of the call, these responses may comprise, for example, instructions to buy or sell stock, to replenish inventory, or to buy or rebook an airline flight. User response module 1815 comprises a database to store these responses along with an identification of the call in which they were given. The identification of 10 the call in which they were given is important to determining what should be done with these responses after the call is terminated. User responses may be passed back to intelligence server 16 after the call is complete. The responses may be processed during or after the call, by the system or by being passed to another application.

Statistics accumulator 1816 comprises a module that accumulates statistics 15 regarding calls placed by call builder 1813. These statistics including, for example, the number of times a particular call has been attempted, the number of times a particular call has resulted in voice mail, the number of times a user responds to a call and other statistics, can be used to modify future call attempts to a particular user or the structure of a voice service provided to a particular user. For example, according to one embodiment, 20 statistics accumulator 1816 accumulates the number of times a call has been unsuccessfully attempted by call builder 1813. This type of information is then used by

call server 18 to determine whether or not the call should be attempted again, and whether or not a voice mail should be left.

Call server 18 also comprises certain hardware components 182. As shown in Figure 1c, hardware components 182 comprise processor 1821 and computer telephone module 1822. According to one embodiment, processor 1821 comprises a Pentium II processor, available from Intel, Inc. Module 1822 provides voice synthesis functionality that is used in conjunction with Text to Speech engine 1814 to communicate the content of voice services to a user. Module 1822 preferably comprises voice boards available from Dialogic, Inc. Other processors and voice synthesizers meeting system requirements may be used.

The system and method of the present invention may form an integral part of an overall commercial transaction processing system.

According to one embodiment of the present invention, a system and method that enable closed-loop transaction processing are provided. The method begins with the deployment of an IVB by executing a service. As detailed above, this includes generating the content and combining this with personalization information to create an active voice page. Call server 18 places a call to the user. During the call, information is delivered to the user through a voice-enabled terminal device (e.g., a telephone or cellular phone).

During the IVB, a user may request a transaction, service, further information from the database or other request, e.g., based on options presented to the user. These will generically be referred to as transactions. The request may be, but is not necessarily,

based on or related to information that was delivered to the user. According to one embodiment, the request comprises a user response to a set of options and/or input of information through a telephone keypad, voice input or other input mechanism.

According to another embodiment, the request can be made by a user by speaking the

5 request. Other types of requests are possible.

According to one embodiment, the user responses are written to a response

collection, which along with information stored in the active voice page, can be used to

cause a selected transaction to be executed. According to one embodiment, the active

voice page comprises an XML-based document that includes embedded, generic requests,

10 *e.g.*, a request for a transaction, or a request for additional information (a database query).

These embedded requests are linked with, for example option statements or prompts so

that when a user enters information, the information is entered into the generic request

and thus completes a specific transaction request. For example, in the example if a user

exercises an option to buy a particular stock, that stock's ticker symbol is used to

15 complete a generic "stock buy" that was embedded in the active voice page.

According to one embodiment, tokens are used to manage user inputs during the

IVB. A token is a temporary variable that can hold different values during an IVB.

When a user enters input, it is stored as a token. The token value is used to complete a

transaction request as described above. According to one embodiment, the system

20 maintains a running list of tokens, or a response collection, during an IVB.

CONFIDENTIAL - ATTORNEY WORK PRODUCT

In order to complete the requested transaction, the user responses (and other information from the active voice page) may need to be converted to a particular format. The format will depend, for example, on the nature and type of transaction requested and the system or application that will execute the transaction. For example, a request to

5 purchase goods through a web-site may require the information to be in HTML/HTTP format. A request for additional information may require an SQL statement. A telephone-based transaction may require another format.

Therefore, the transaction request is formatted. According to one embodiment, the transaction is formatted to be made against a web-based transaction system.

10 According to another embodiment, the transaction request is formatted to be made against a database. According to another embodiment, the transaction is formatted to be made against a telephone-based transaction system. According to another embodiment, the transaction is formatted to be made via e-mail or EDI. Other embodiments are possible.

In one embodiment, the formatted transaction request comprises an embedded transaction request. The system described in connection with Figures 1-3 provides interactive voice services using TML, a markup language based on XML. Using TML active voice pages are constructed that contain the structure and content for a interactive voice broadcast including, inter alia, presenting the user with options and prompting the user for information. Moreover in connection with OPTION and PROMPT elements,

15 active voice pages also can include embedded statements such as transaction requests.

Therefore, the formatting for the transaction request can be accomplished ahead of time based on the particular types of transactions the user may select.

For example, in connection with an exemplary stock purchase, an active voice page can include an embedded transaction request to sell stock in the format necessary for 5 a particular preferred brokerage. The embedded statement would include predefined variables for the name of the stock, the number of shares, the type of order (market or limit, etc.), and other variables. When the user chooses to exercise the option to buy or sell stock, the predefined variables are replaced with information entered by the user in response to OPTION or PROMPT elements. Thus, a properly formatted transaction 10 request is completed.

In the system of Figures 1-3, TML parsing engine in call server 18 includes the functionality necessary to generate the properly formatted transaction request as described above. For example, in connection with the embodiment described above, the TML parsing engine shown in Figure 3c reads the active voice pages. When the TML 15 parsing engine reads an OPTION element that includes an embedded transaction request, it stores the transaction request, and defines the necessary variables and variable locations. When the user exercises that OPTION, the user's input is received by the TML parsing engine and placed at the memory locations to complete the transaction request. This technique could be used, for example, to generate a formatted transaction request for 20 web-site.

According to another embodiment, where the transaction request is made via a natural language, voice request, a formatted transaction request can be generated in a number of ways. According to one embodiment, speech recognition technology is used to translate the user's request into text and parse out the response information. The text is

5 then used to complete an embedded transaction request as described above. According to another embodiment, speech recognition software is used to translate the request to text. The text is then converted to a formatted request based on a set of known preferences.

A connection is established with the transaction processing system. This can be accomplished during, or after the IVB. According to one embodiment, the transaction

10 processing system comprises a remotely located telephone-based transaction site. For example, in the system shown in Figures 1-3, call server 18, through the TML parsing engine 1812, establishes a connection with a telephone-based transaction processing site.

According to another embodiment, the transaction processing system comprises a remotely based web-site. According to this embodiment, the formatted request includes a

15 URL to locate the web-site and the system accesses the site through a web connection using the formatted request. Alternatively, the formatted request includes an e-mail address and the system uses any known email program to generate an e-mail request for the transaction.

After the connection is established, the transaction is processed by the transaction

20 processing site and the user is notified of the status of the transaction. If the transaction is completed in real-time, the user may be immediately notified. If the transaction is

executed after the IVB, the user may be called again by the system, sent an e-mail, or otherwise notified when the transaction has been completed.

According to one particular embodiment, the system comprises the interactive voice broadcasting system shown and described in Figures 1-3 and the transaction is accomplished in real-time. In this embodiment, confirmation of the transaction is returned to TML parsing engine 1812 shown in Figure 3 and translated to speech in text-to-speech engine 1814 and presented to the user during the IVB. More specifically, and similar to the process described with respect to embedded formatted transaction requests, TML also enables embedding of a response statement. Thus, when the transaction is processed and confirmation of the transaction is returned to the system, an embedded confirmation statement is conveyed to the user through TML parsing engine 1812 after being converted to speech in text-to-speech engine 1814.

Figure 4 schematically depicts one example of how the system and method of the present invention would fit into such a commercial transaction processing system.

Working from left to right in Figure 4, the system begins and ends with information stored in relational databases. One of the primary purposes of information is in making decisions. Thus, the information in the databases is most useful if provided to someone who desires it in a timely fashion.

A voice service system is provided to enable access to the information in the databases. The voice service system utilizes personalization information and personalized menus to construct AVPs pages that enable the information to be delivered

to a user verbally. Moreover, the AVPs pages, not only enable information to be presented to the user. But, they also enable the user to provide information back to the voice service system for additional processing.

According to the embodiment shown in Figure 4, once the AVPs are constructed 5 by voice service system, they are processed and the content is delivered to a user verbally in an IVB. Thus, call processing and text-to-speech technology are used to establish a telephone connection with a user and convert the active voice pages to speech for presentation to the user. As shown in Figure 4, the IVB may be delivered to a user in many devices, including a telephone, a mobile phone, voice mail, an answering machine 10 or any other voice-enabled device.

During the IVB, depending on the content that is being delivered, control may be passed to an e-commerce application for the user to complete a transaction based on the information presented. For example, if the user has requested information about sales on a particular brand of merchandise, the user may be connected with a particular retailer in 15 order to complete a transaction to buy a particular good or service. Information about this transaction is then added to the databases and thus may be advantageously accessed by other users.

It may not be economical for some potential users of a voice broadcasting system to buy and/or maintain their own telephony hardware and software as embodied in call 20 server 18. In such a case, a voice service bureau may be maintained at a remote location to service users voice service requests. A voice service bureau and a method of using a

voice service bureau according to various embodiments of the present invention is described in conjunction with Figures 5-6.

In one embodiment, a voice service bureau may comprise one or more call servers and call databases that are centrally located and enable other voice service systems to generate a call request and pass the call request to the VSB to execute a call. In this way the other voice service systems do not need to invest in acquiring and maintaining call data bases, call servers, additional telephone lines and other equipment or software.

Moreover, the VSB facilitates weeding out usage of illegal numbers and spamming by number checking implemented through its web server.

A voice service bureau and a method of using a voice service bureau according to one embodiment are described in conjunction with Figures 5-6. Figure 5 depicts a method of utilizing a voice service bureau according to one embodiment of the present invention. The method begins in step 810 with a request to place one or more telephone calls received through a computer network.

According to one embodiment, the voice service bureau is maintained at a location distant from the voice service system. Therefore, in order for a voice service to be processed by the voice service bureau, in step 810 the voice service is sent to the voice services bureau, preferably over some secure line of communication. According to one embodiment, the request is sent to the voice service bureau through the Internet using secure HTTPS. HTTPS provides a secure exchange of data between clients and the voice service bureau using asymmetric encryption keys based on secure server certificates. In

another embodiment, SSL HTTP protocol is used to send a call request to the voice service bureau. Both of these protocols help ensure that a secure channel of communication is maintained between the voice service system and the voice service bureau. Other security techniques may be used.

5        When a request for a call or telecast is received, by the VSB, the request is authenticated by the voice service bureau in step 820. According to one embodiment, the authenticity of the request is determined in at least two ways. First, it is determined whether or not the request was submitted from a server having a valid, active server certificate. More specifically, requests may be typically received via a stream of HTTPS data. Each such request originating from a server with a valid server certificate will include an embedded code (i.e., server certificate) that indicates the request is authentic.

10      In addition to the use of server certificates, each request may also be authenticated using an identification number and password. Therefore, if the request submitted does not include a valid server certificate and does not identify a valid I.D./password combination,

15      the request will not be processed. The step of authenticating also comprises performing any necessary decryption. According to one embodiment, any errors that are encountered in the process of decrypting or authenticating the call request are logged an error system and may be sent back to the administrator of the sending system. Other methods of authenticating the request are possible.

20        Each properly authenticated request is sent to a call server (step 830) and processed (step 840). According to one embodiment, the voice service bureau comprises

a number of call servers. According to one embodiment, the calls are sent to a call database, and processed as set forth herein in conjunction with the explanation of call server 18.

One embodiment of a voice service bureau will now be explained in conjunction

5 with Figures 6a-6c. Figure 6a depicts a system comprising a plurality of client side installations 91, a primary voice bureau 92, a system administrator 93, a backup voice service bureau 94, and a plurality of users 95. Client side installations 91 communicate with voice service bureau 92 through a computer network. Voice service bureau 92 communicates with users 95 through a voice network. According to one embodiment, the 10 computer network comprises the internet and client side installations 91 communicate with voice service bureau 92 using HTTPS as described above, and the voice network comprises a public telephone network.

According to one embodiment, client side installations 91 are substantially identical to the system shown in Figure 4 except for the elimination of call server 18. In

15 the system of Fig. 6a, the functionality of call server 18 is performed by VSB 92. As shown in this embodiment, VSB 92 can service multiple client side installations 91<sub>1</sub> to 91<sub>n</sub>. According to another embodiment, client-side installation functionality may be included within VSB 92. According to this embodiment VSB 92 constitutes a fully functional voice service that is accessible through email, telephone or other interfaces.

20 According to this embodiment, when voice services have been assembled by intelligence server 16, a request to have the voice services transmitted is sent via a secure

network connection through the computer network shown to primary voice bureau 92 and backup voice service bureau 94 as described above. According to one embodiment, the request comprises a mark-up language string that contains the voice service structure and content and personal style properties and other information. As described above, voice  
5 bureau 92 authenticates the request, queues the voice services and sends telecasts to users 95 through the voice network.

A block diagram of one embodiment of primary voice bureau 92 is shown in Figure 6b. According to this embodiment, primary voice bureau comprises routers 921, dual-homed servers 922, database servers 923, call database 924, backup storage 925, 10 call servers 926, internal switch 927, and system administrator 928. Routers 921 receive call requests via a computer network and pass them along to one of the two dual-homed servers 922. Router 921 monitors activity on servers 922 and forwards call requests to one of the two depending on availability.

Dual-homed servers 922 comprise servers configured to receive and send HTTPS  
15 email. As part of their receiving function, dual-homed servers 922 are configured to perform the authentication processing described above. According to one embodiment, dual-homed servers 922 determine whether the incoming request originated from a server with an active server certificate and also determine if the request contains a valid I.D./password combination. Once dual-homed servers 922 have authenticated the  
20 incoming request, they forward the request to be queued in call database 924. As part of their sending function, dual-homed servers 922 are configured to format and send HTTPS

000039-0000039

email. As discussed above, during a telecast a user may request that further information be accessed from a database or that some transaction be performed. According to one embodiment, these user requests are forwarded back to the originating system via HTTPS email by dual-homed servers 922. Dual-homed servers 922 are load balanced to facilitate optimal performance and handling of incoming call requests.

Database servers 923, call database 924, and backup storage 925 together comprise a call request queuing system. Primary voice bureau 92 is configured to handle a large number of call requests. It may not be possible to process call requests as they arrive. Therefore, call requests are queued in call database 924. According to one embodiment, call database 924 comprises a relational database that maintains a queue of all call requests that need to be processed as well as logs of calls that have been processed. According to another embodiment, primary VSB 92 may include a failover measure that enables another system server to become the call database if call database 924 should fail.

Database servers 923 are configured to control access to call database 924. According to one embodiment, database servers may be optimized to generate SQL statements to access entries in call database at high speed. Database servers 923 also control storage of call requests and call logs in call database 924.

Call servers 926 each are configured to format and send telecasts. According to one embodiment, each of call servers 926 is substantially identical to call server 18 shown in Figure 3c. More specifically, each of call servers 926 receives requests for

telecasts, parses the call content from the mark-language, establishes a connection with the user through phone lines 929, and receives user responses. According to one embodiment, call servers 926 comprise a clustered architecture that facilitates message recovery in the event of server failure.

5 Primary voice bureau 92 is controlled by system administrator 93 and internal switch 927. System administrator controls switch 927 and thus controls the flow of call requests to call database 924 from dual homed servers 922 and to call servers 926 from call database 924.

10 System administrator 93 is also configured to perform a number of other services for primary voice bureau 92. According to one embodiment, system administrator 93 also comprises a billing module, a statistics module, a service module and a security module. The billing module tabulates the number of voice service requests that come from a particular user and considers the billing plan that the customer uses so that the user may be appropriately billed for the use of voice bureau 92. The statistics module 15 determines and maintains statistics about the number of call requests that are processed by voice bureau 92 and statistics regarding call completion such as, e.g., success, failed due to busy signal and failed due to invalid number. These statistics may be used, for example, to evaluate hardware requirements and modify pricing schemes. The security module monitors activity on voice bureau 92 to determine whether or not any 20 unauthorized user has accessed or attempted to access the system. The service module provides an interface through which primary voice bureau 92 may be monitored, for

example, to determine the status of call requests. Other service modules are possible. Moreover, although these services are described as distinct modules, their functionality could be combined and provided in a single module.

Backup voice service bureau 94 receives a redundant request for voice services.

5 Backup voice service bureau 94 processes the requests only when primary voice service bureau is offline or busy. One embodiment of backup voice service bureau 94 is shown in Figure 6c. Backup voice bureau 94 comprises routers 941, HTTP server 942, database server 943, call server 946 and routers 947. Each of these components performs a function identical to the corresponding element in primary voice bureau 92. Router 947  
10 replaces switch 927. Router 947 controls the forwarding of call requests to database server 943 for queuing in an internal database, and the forwarding of call requests to call server 946 from database server 943.

Various features and functions of the present invention extend the capabilities of previously known information delivery systems. One such system is MicroStrategy's  
15 Broadcaster version 5.6. The features and functions of the present invention are usable in conjunction with Broadcaster and other information delivery systems or alone. Other products may be used with the various features and functions of the invention including, but not limited to, MicroStrategy's known product suite.

Other embodiments and uses of the invention will be apparent to those skilled in  
20 the art from consideration of the specification and practice of the invention disclosed

herein. The specification and examples should be considered exemplary only. The scope of the invention is only limited by the claims appended hereto.

On the 10th, we were at the station of Wang-tung, where we were to have a boat to take us to Wu-chow, but the boatmen were not to be found.

**WHAT IS CLAIMED IS:**

1. An integrated inbound and outbound voice service system comprising:

a first system for generating markup documents;

a call server comprising:

5 a storage device for storing the markup documents;

a call builder operative to initialize a voice-enabled communication

using the markup documents; and,

a call receiver operative to accept an inbound voice-enabled  
communication;

10 wherein the call builder is operative to control voice-enabled  
communications using the markup documents.

2. The voice service system of claim 1 wherein the call server further  
comprises an authentication module operative to authenticate an inbound voice-enabled  
15 communication.

3. The voice service system of claim 1 wherein the call server further  
comprises:

a parser operative to extract text from the markup language documents;

20 and,

a text-to-speech engine for converting the extracted text into speech.

4. The system of claim 1 wherein the call server further comprises a search module operative to search markup language documents stored in the storage device.

5 5. The system of claim 4 wherein the search module comprises an SQL engine operative to query the storage device.

6. The system of claim 1 wherein the storage device comprises a relational database.

10 7. The system of claim 1 wherein the markup language documents comprise TML documents.

8. The system of claim 1 wherein the markup language documents comprise 15 active voice pages.

9. The system of claim 1 wherein the markup language documents comprise information accessed from an on-line analytical processing system.

20 10. A method for providing integrated inbound and outbound voice services comprising the steps of:

generating markup documents;  
storing the markup documents;  
initializing outbound voice-enabled communications using the markup  
documents;  
5 accepting inbound voice-enabled communications; and,  
controlling the voice-enabled communications using the markup  
documents.

11. The method of claim 10 further comprising the step of authenticating  
10 inbound voice-enabled communications.

12. The method of claim 10 wherein the step of controlling comprises:  
extracting text from the markup language documents; and,  
converting the extracted text into speech.

15

13. The method of claim 10 further comprising the step of searching the  
markup language documents stored in the storage device for inbound voice-enabled  
communications.

20 14. The method of claim 13 wherein the step of searching comprises  
generating SQL statements to search for particular markup language documents.

15. The method of claim 10 wherein the step of storing comprises storing the markup language documents in a relational database.

5 16. The method of claim 10 wherein the markup language documents comprise TML documents.

17. The method of claim 10 wherein the markup language documents comprise active voice pages.

10

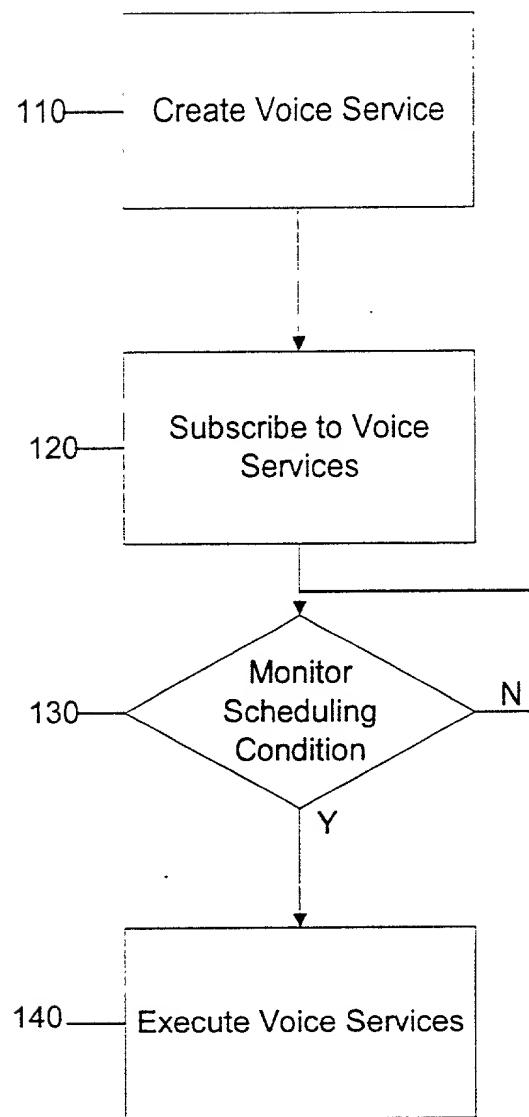
18. The method of claim 10 wherein the markup language documents comprise information accessed from an on-line analytical processing system.

**SYSTEM AND METHOD FOR THE CREATION AND AUTOMATIC DEPLOYMENT  
OF PERSONALIZED, DYNAMIC AND INTERACTIVE VOICE SERVICES, WITH  
INTEGRATED INBOUND AND OUTBOUND VOICE SERVICES**

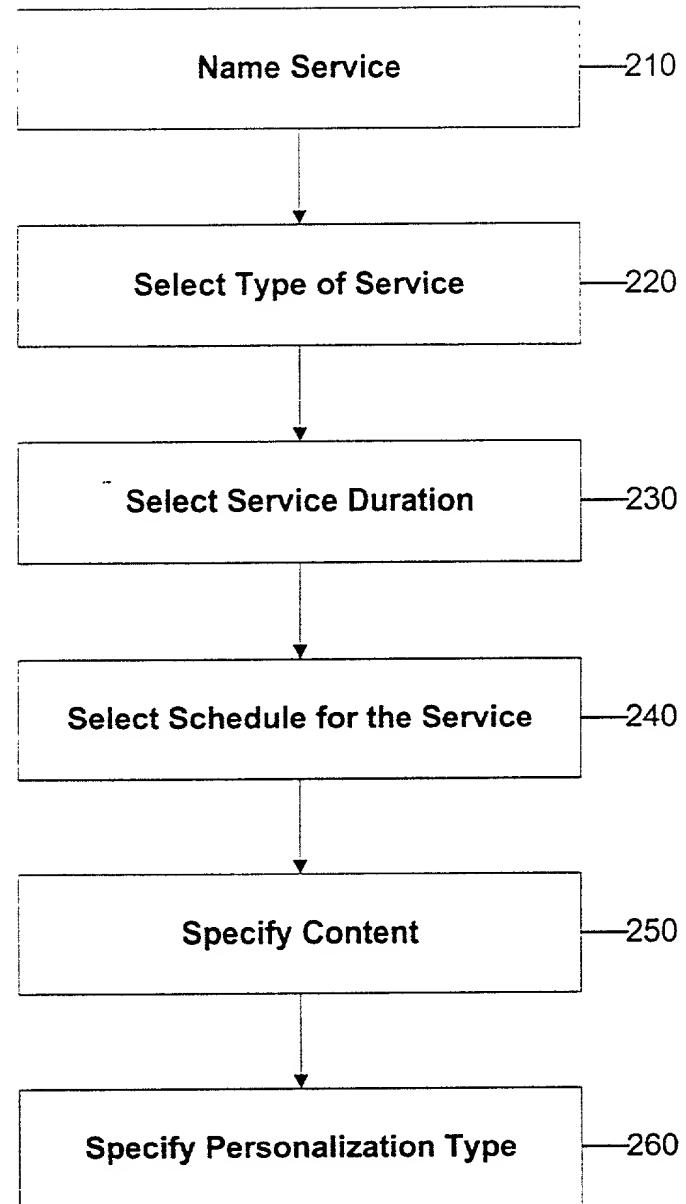
**Abstract of the Disclosure**

This invention relates to a system and method for providing inbound and  
5 outbound voice services. The invention may be used in conjunction with a system for the  
creation and automatic deployment of personalized, dynamic and interactive voice  
services, including information derived from on-line analytical processing (OLAP)  
systems and other data repositories. More specifically, the invention enables  
personalized delivery of (outbound calling) and accessing of (inbound calling)  
10 information in real-time, via natural language voice communication with a voice-enabled  
terminal device.

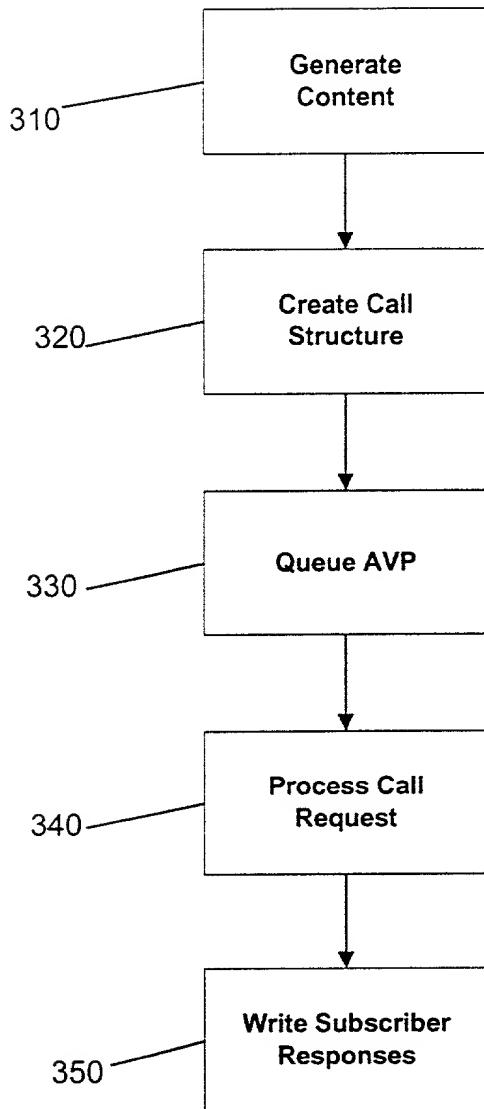
USPTO PREPRINT SHEET



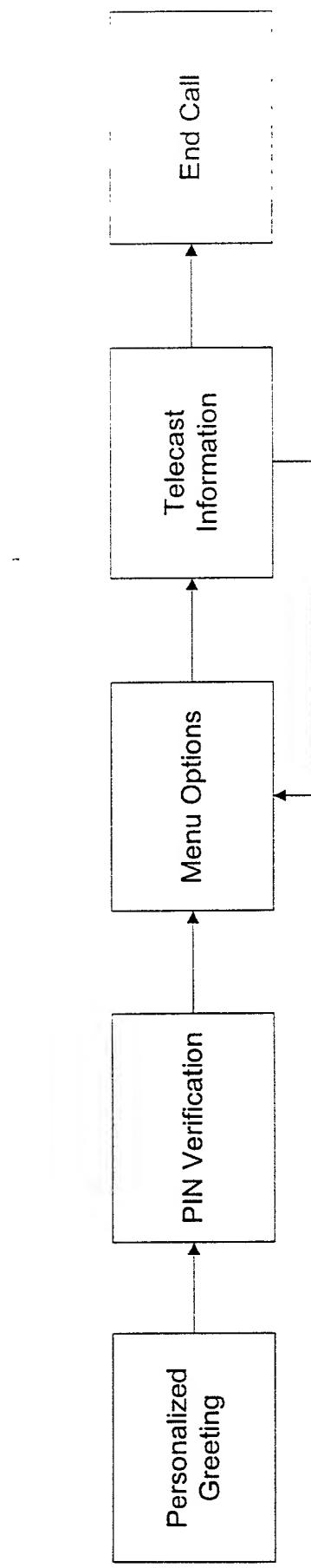
**Figure 1a**



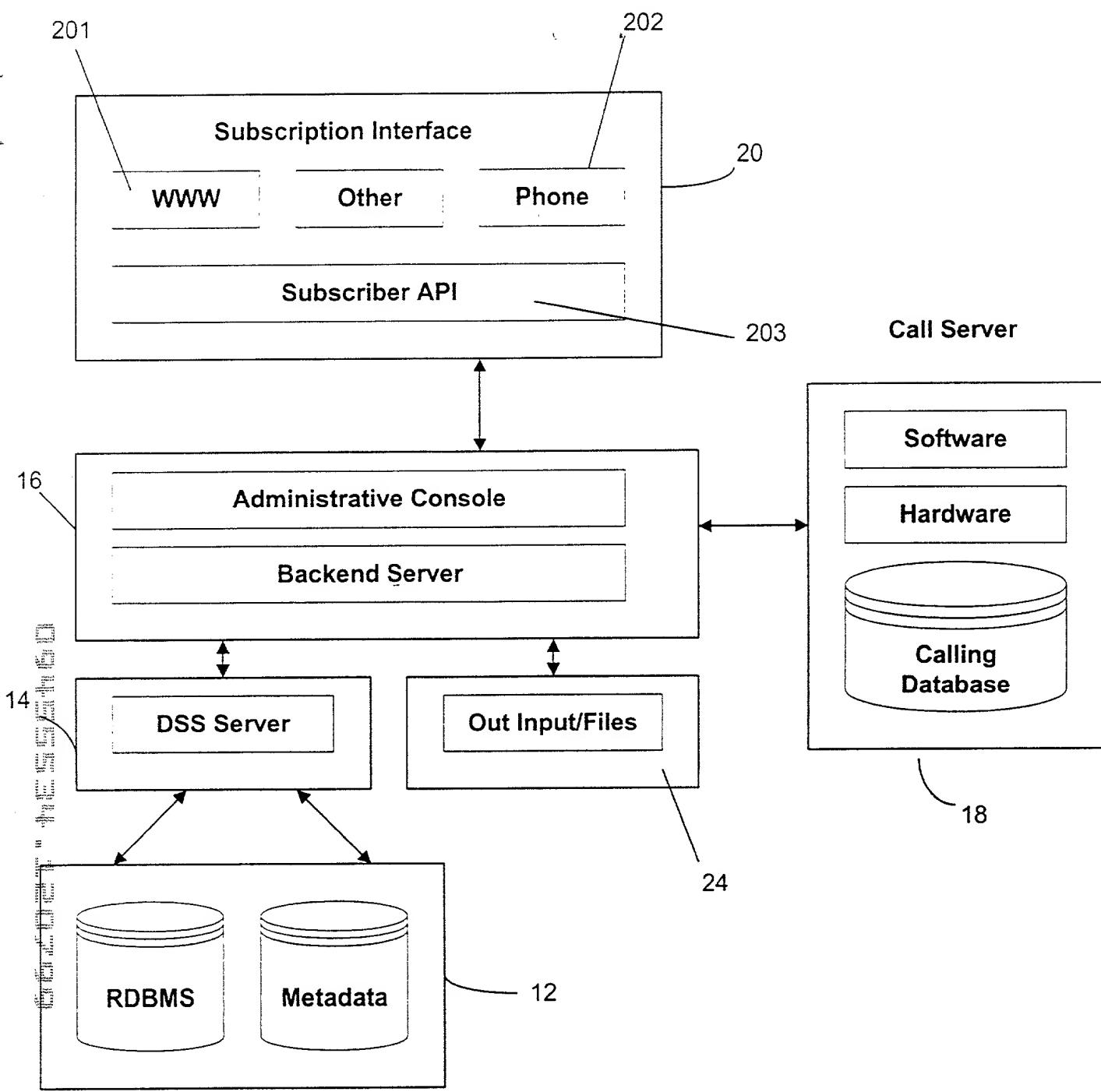
**Figure 1b**



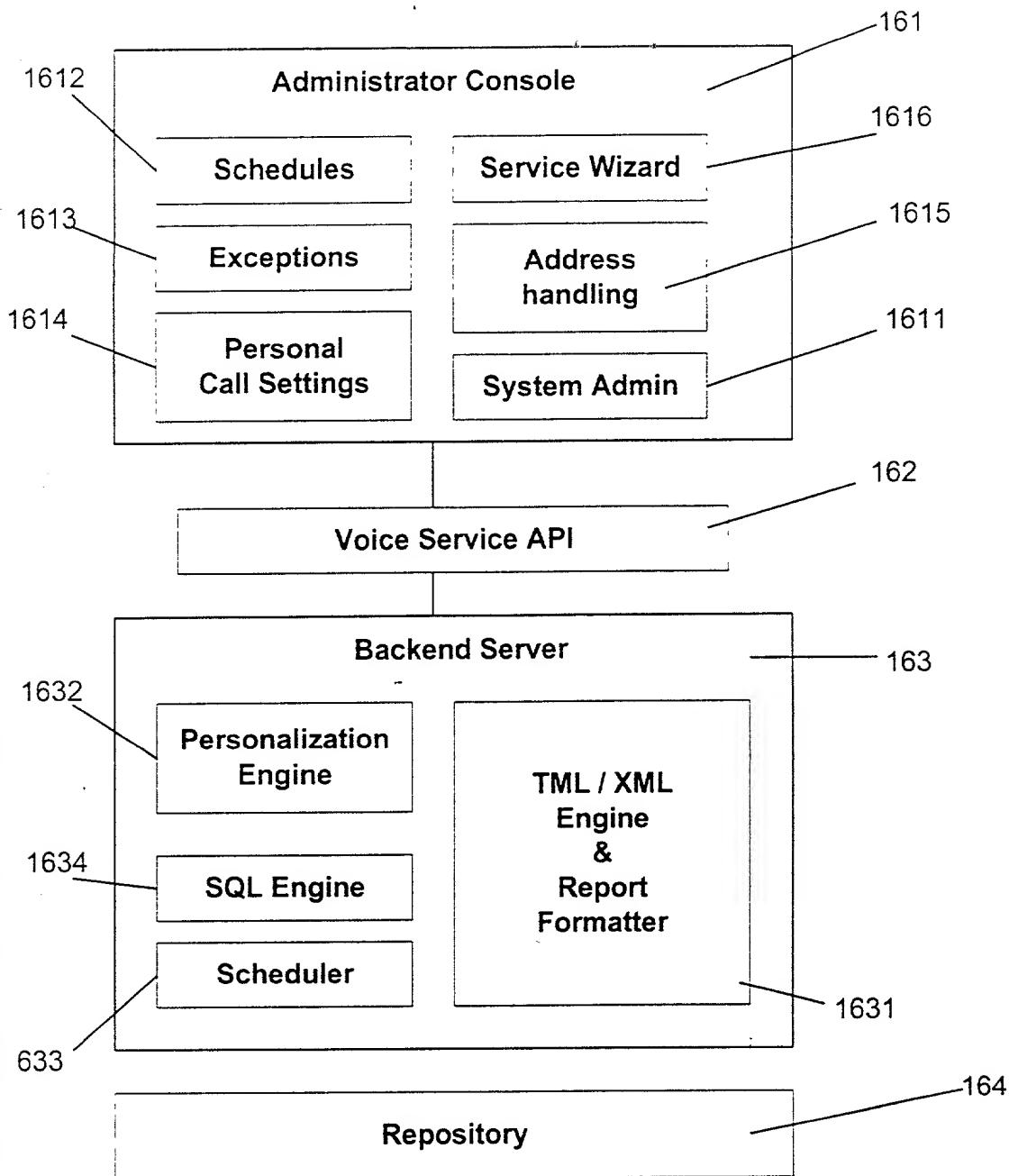
**FIGURE 1c**



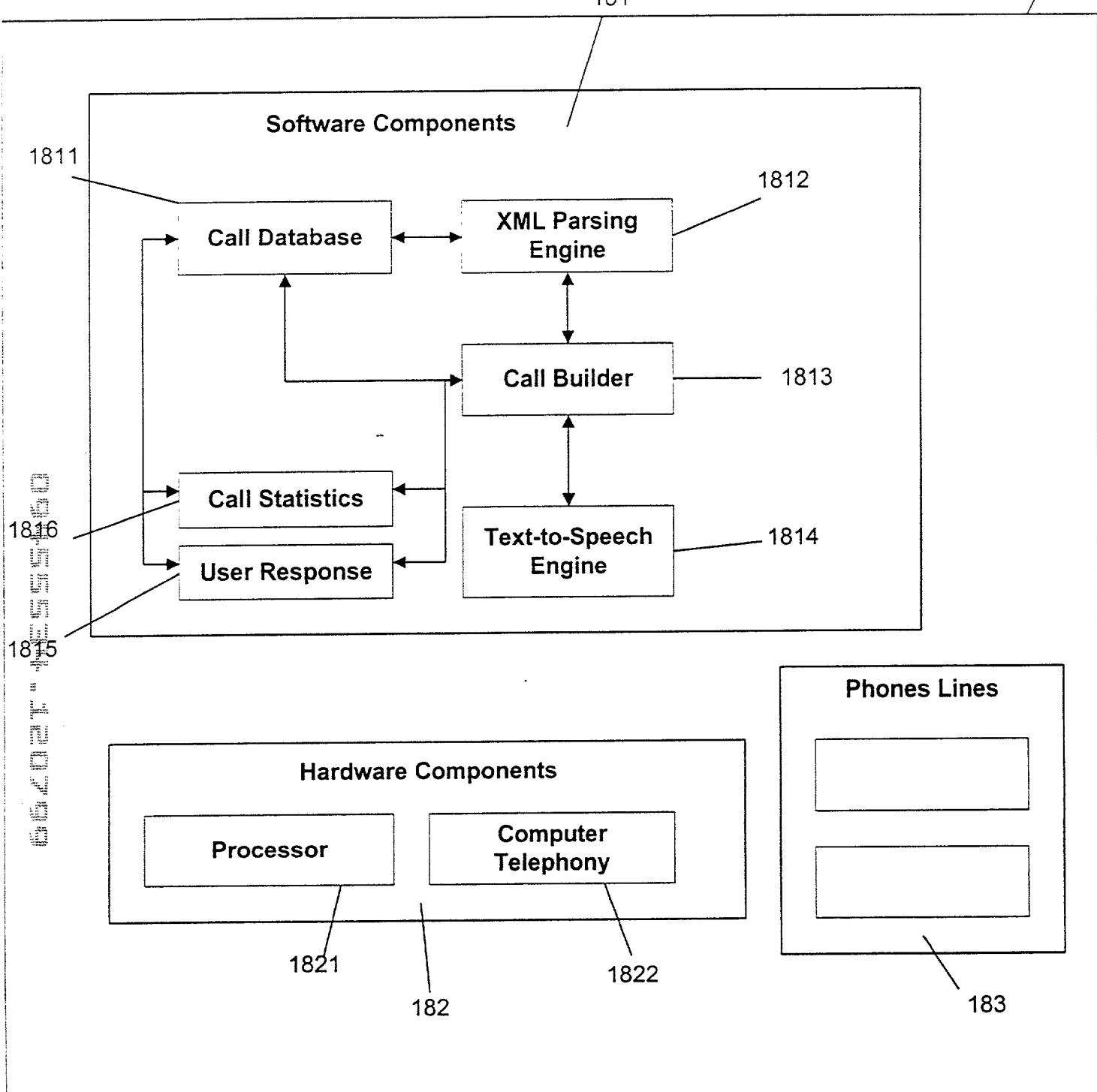
**FIGURE 2**



**FIGURE 3a**



**FIGURE 3b**

**FIGURE 3c**

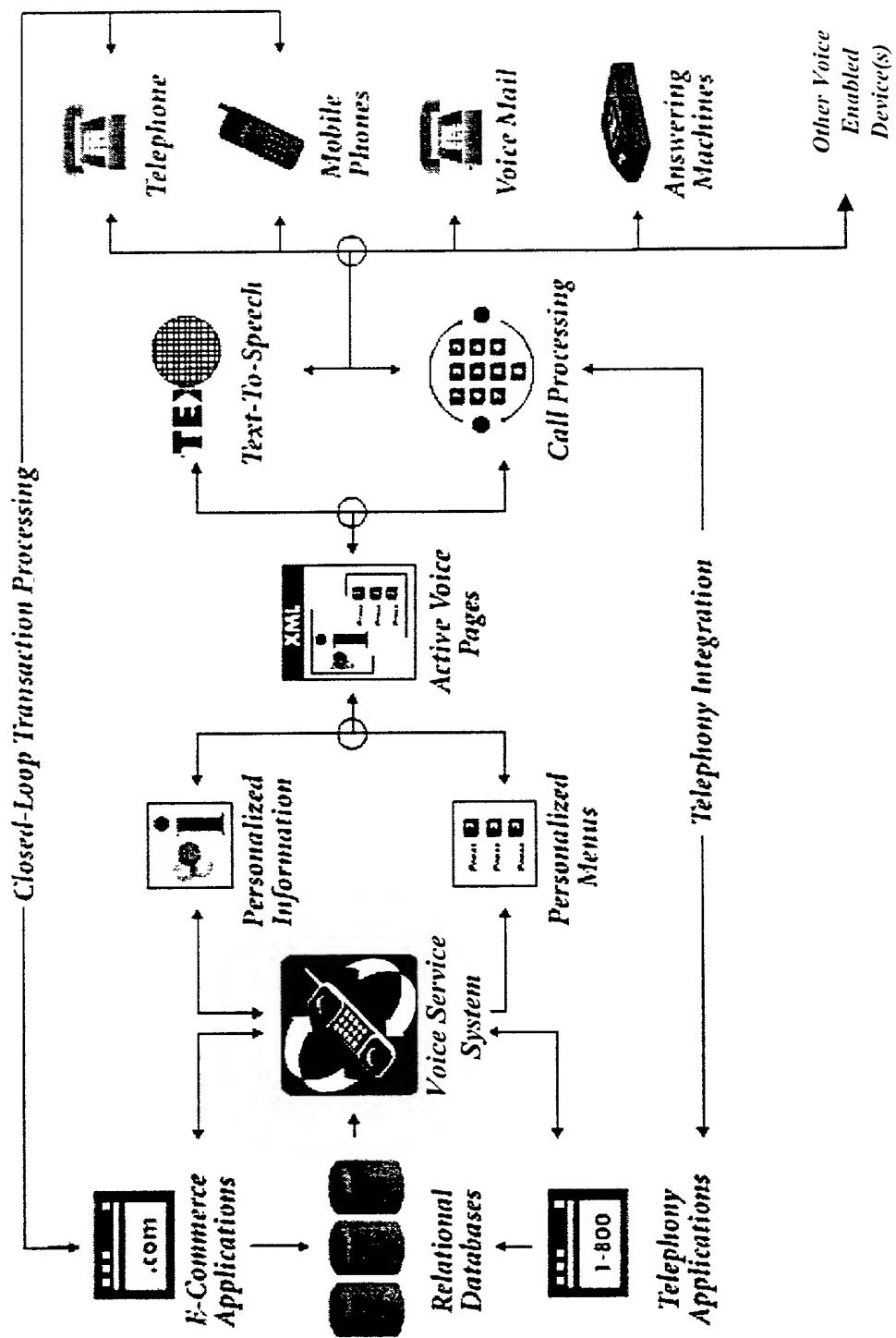
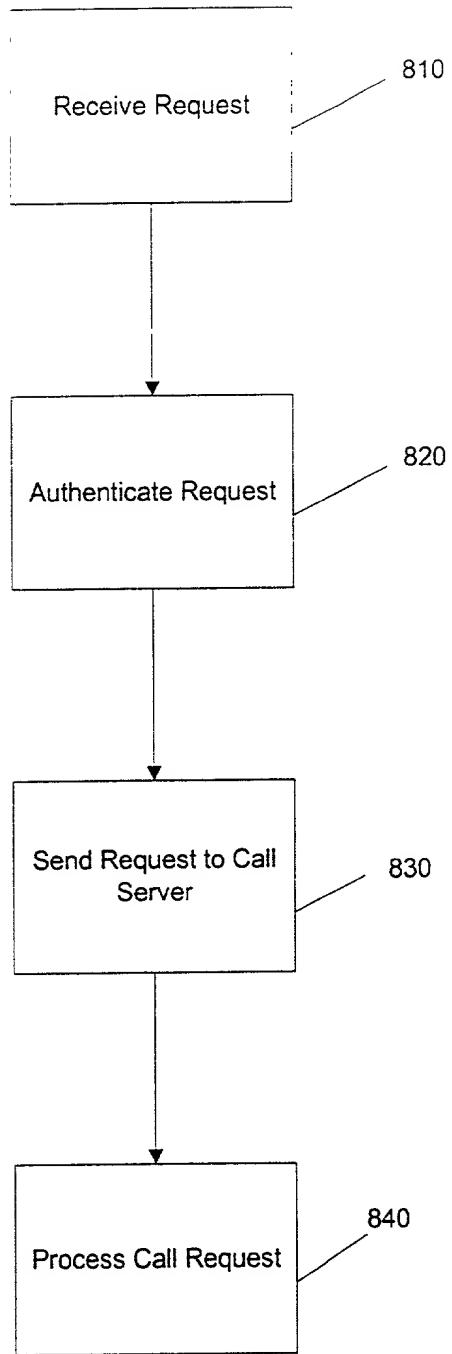
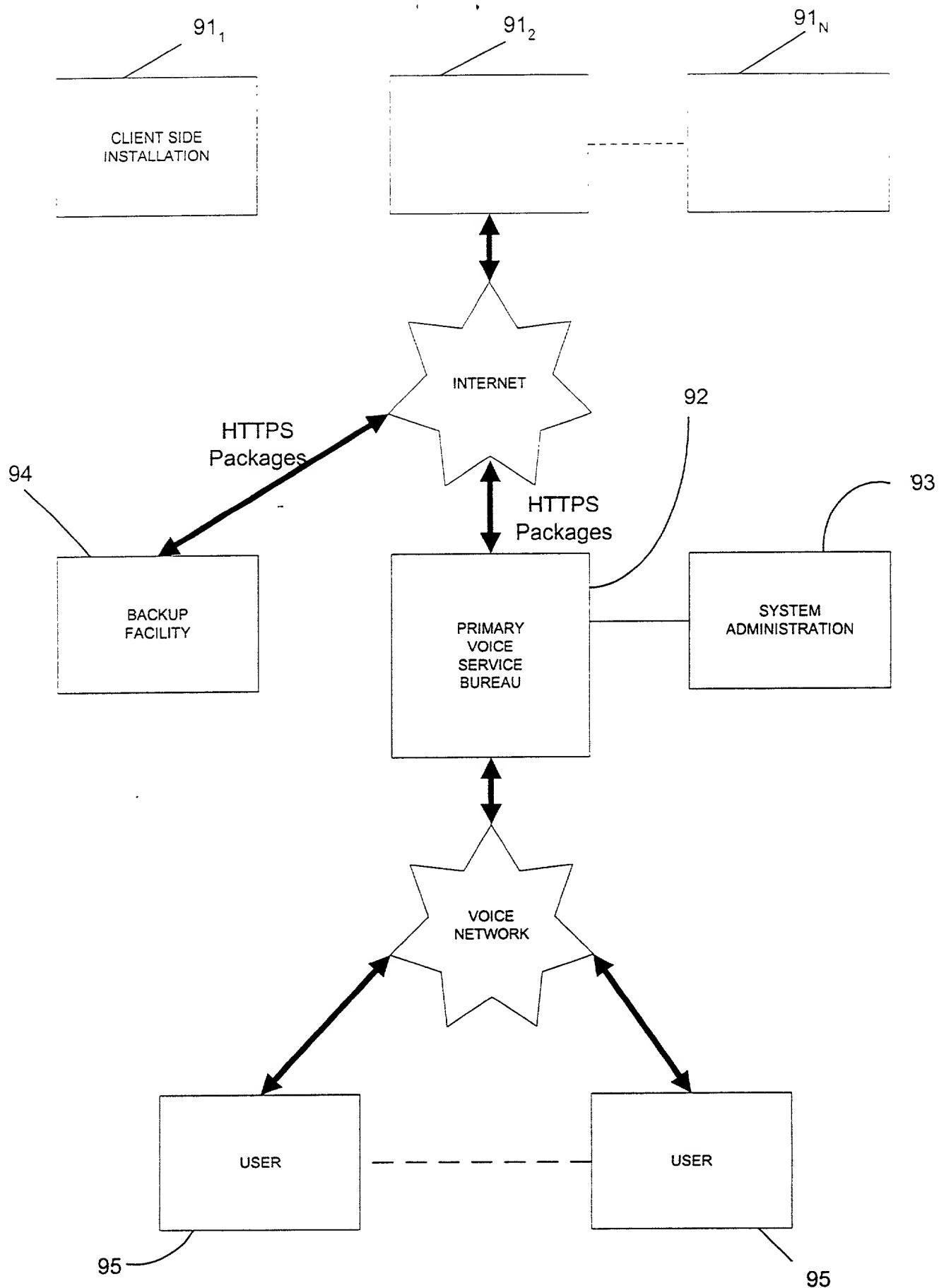


Fig. 4



**FIGURE 5**



**FIGURE 6a**

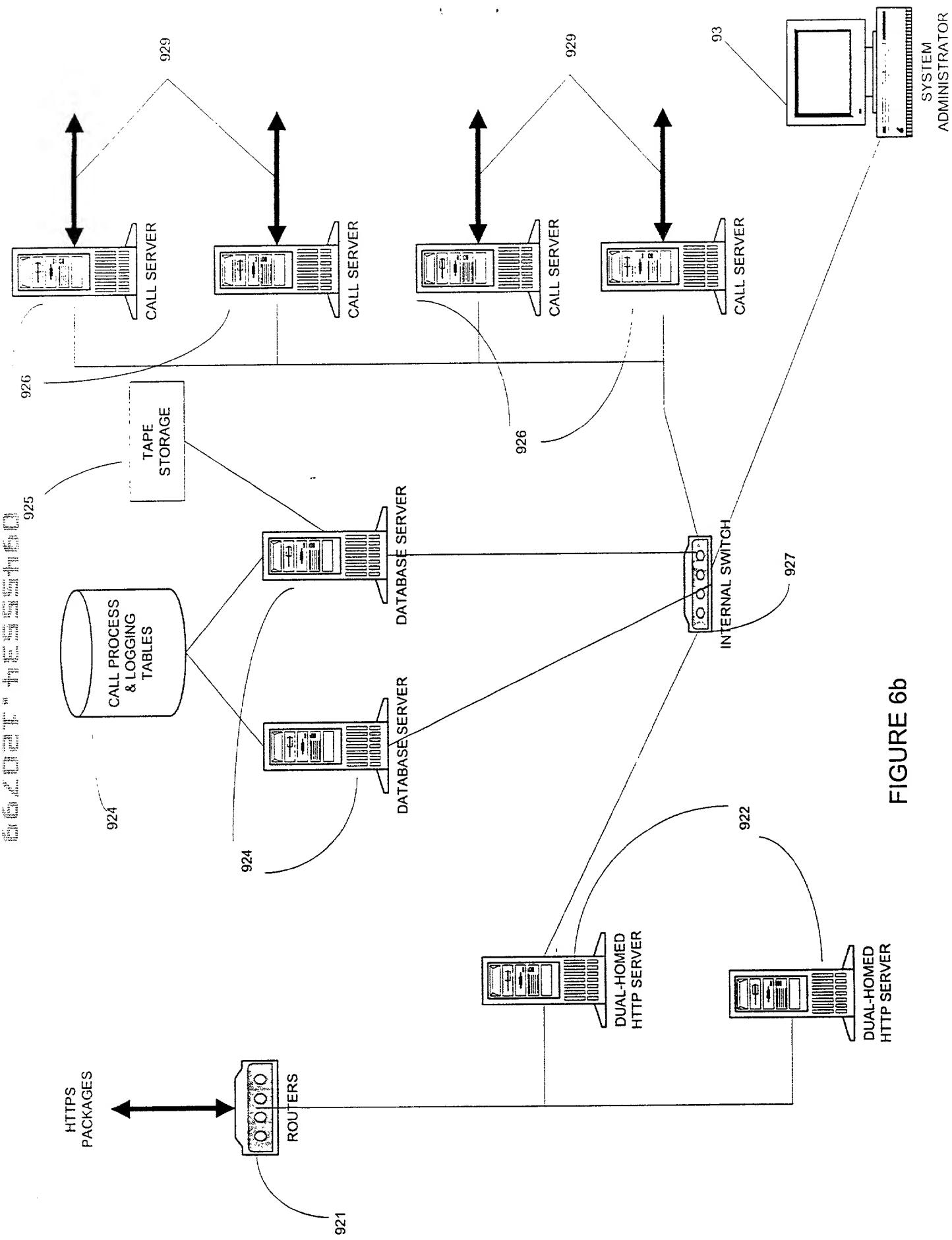


FIGURE 6b

HTTP  
PACKAGES

BACKUP FACILITY

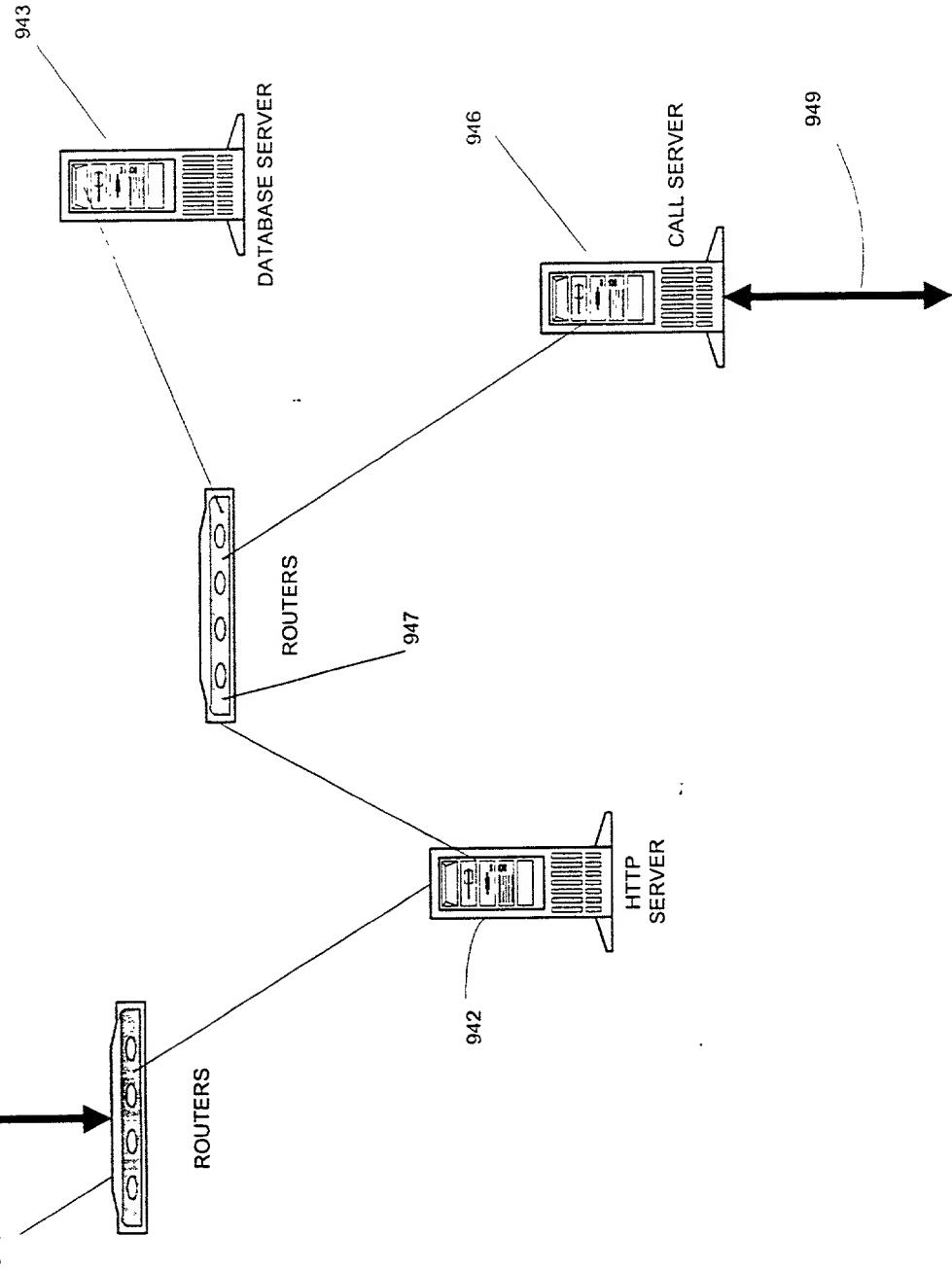
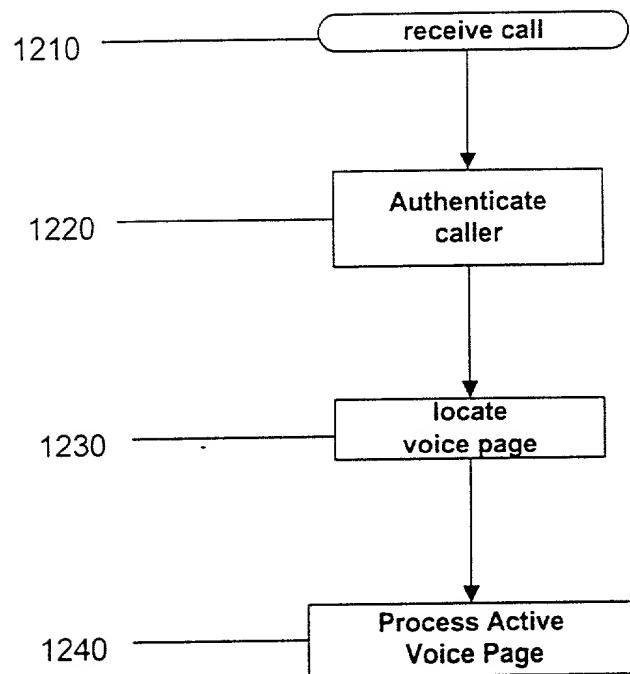
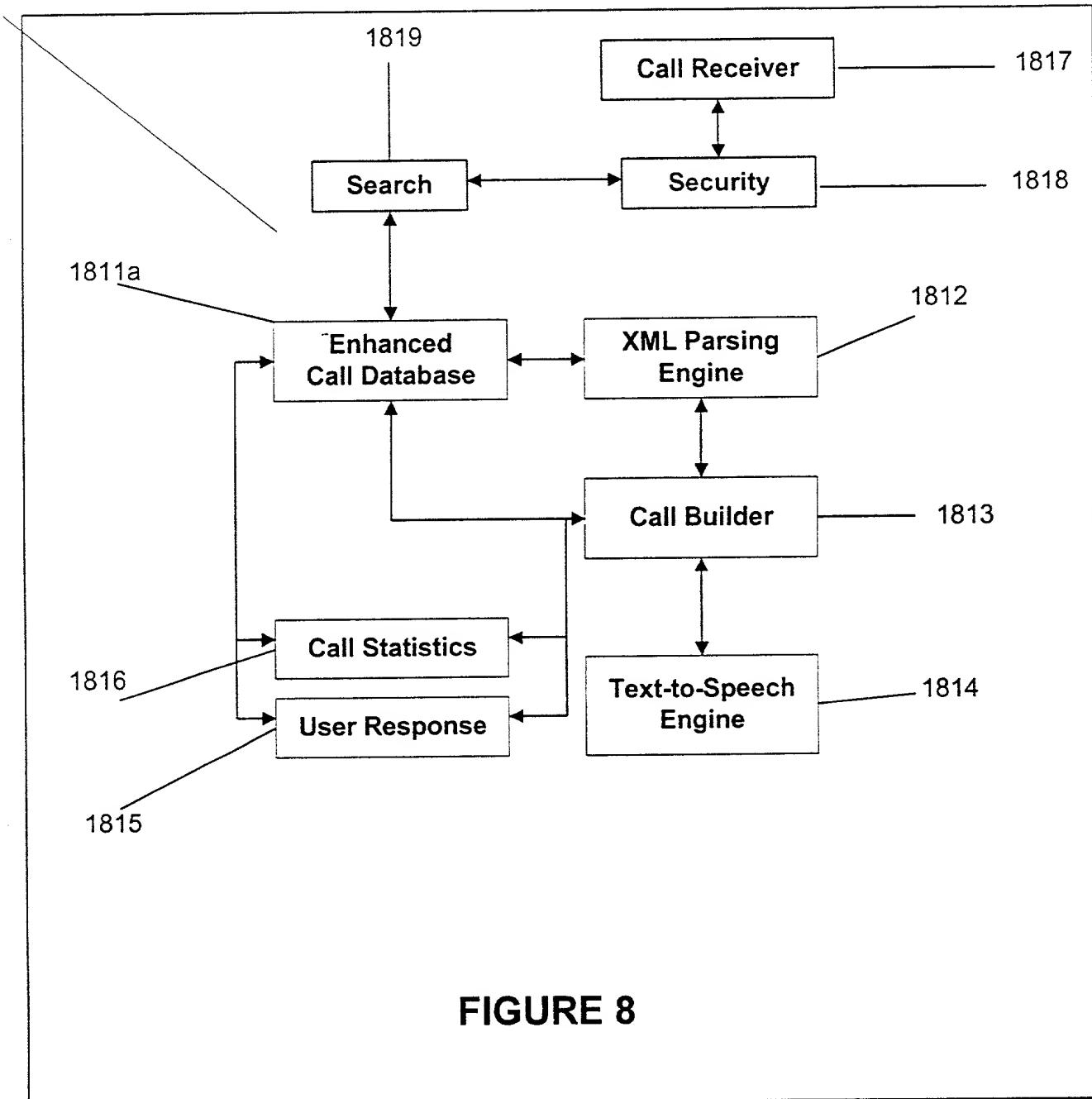


FIGURE 6c



**FIGURE 7**

18a

**FIGURE 8**

## JOINT DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

As the below named inventors, we hereby declare that:

Our residences, post office addresses and citizenship are as stated below next to our names;

We believe that we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled **System and Method for the Creation and Automatic Deployment of Personalized, Dynamic and Interactive Voice Services, with Integrated Inbound and Outbound Voice Services**, the specification of which

is attached hereto.

was filed on \_\_\_\_\_ as Application Serial Number \_\_\_\_\_ and was amended on \_\_\_\_\_  
(if applicable)

We hereby state that we have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to in this declaration.

We acknowledge the duty to disclose all information known to us to be material to the patentability of this application, as defined in 37 C.F.R. § 1.56.

We acknowledge the duty to disclose to the Office all information known to us to be material to patentability as defined in § 1.56, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

### Prior Foreign Application(s)

We hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Country	Application Number	Date of Filing (day, month, year)	Date of Issue (day, month, year)	Priority Claimed Under 35 U.S.C. 119
				Yes <input type="checkbox"/> No <input type="checkbox"/>
				Yes <input type="checkbox"/> No <input type="checkbox"/>
				Yes <input type="checkbox"/> No <input type="checkbox"/>
				Yes <input type="checkbox"/> No <input type="checkbox"/>

### Prior United States Application(s)

We hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial Number	Date of Filing (day, month, year)	Status - Patented, Pending, Abandoned
60/153,222	13 September 1999	Pending

And we hereby appoint, both jointly and severally, as our attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith the following attorneys, their registration numbers being listed after their names:

Thomas J. Scott, Jr., Registration No. 27,836; Stanislaus Aksman, Registration No. 28,562; Kevin J. Dunleavy, Registration No. 32,024; James G. Gatto, Registration No. 32,694; Scott D. Balderston, Registration No. 35,436; Tyler S. Brown, Registration No. 36,465; Christopher C. Campbell, Registration No. 37,291; Henry C. Su, Registration No. 37,738; Brian M. Buroker, Registration No. 39,125; Steven P. Klocinski, Registration No. 39,251; Charles F. Hollis, Registration No. 40,650; Kevin T. Duncan, Registration No. 41,495; Jonathan D. Link, Registration No. 41,548; Christopher J. Cuneo, Registration No. 42,450; Stephen T. Schreiner, Registration No. 43,097; Raphael A. Valencia, Registration No. 43,216; George B. Georgellis, Registration No. 43,632; Yisun Song, Registration No. 44,487; Matthew G. Pryor, Registration No. 45,278; and Dinnatia J. Doster, Registration No. 45,268.

All correspondence and telephone communications should be addressed to Hunton & Williams, 1900 K Street, N.W., Suite 1200, Washington, D.C. 20006-1109, telephone number (202) 955-1500 which is also the address and telephone number of each of the above listed attorneys.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon

Full Name of Sixth Inventor	ZIRNGIBL	MICHAEL	
	Family Name	First Given Name	Second Given Name
Residence	1507 30 <sup>th</sup> Street N.W., Apt. 3, Washington, DC 20007		
Citizenship	Germany		
Post Office Address	1507 30 <sup>th</sup> Street N.W., Apt. 3, Washington, DC 20007		

Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of Fourth Inventor	PATNAIK	ANURAG	
	Family Name	First Given Name	Second Given Name
Residence	850 N. Randolph Street, Apt. 2120, Arlington, Virginia 22201		
Citizenship	India		
Post Office Address	850 N. Randolph Street, Apt. 2120, Arlington, Virginia 22201		

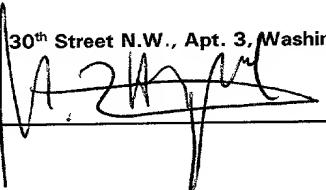
Signature \_\_\_\_\_ Date \_\_\_\_\_

*Anurag Ahuja* 12/01/99

HUNTON & WILLIAMS  
1900 K Street, N.W., Suite 1200  
Washington, D.C. 20006-1109  
Tel: (202) 955-1500

All correspondence and telephone communications should be addressed to Hunton & Williams, 1900 K Street, N.W., Suite 1200, Washington, D.C. 20006-1109, telephone number (202) 955-1500, which is also the address and telephone number of each of the above listed attorneys.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full Name of Sixth Inventor	<b>ZIRNGIBL</b> Family Name	<b>MICHAEL</b> First Given Name	Second Given Name
Residence	<b>1507 30<sup>th</sup> Street N.W., Apt. 3, Washington, DC 20007</b>		
Citizenship	<b>Germany</b>		
Post Office Address	<b>1507 30<sup>th</sup> Street N.W., Apt. 3, Washington, DC 20007</b>		
Signature			
		Date <u>11/30/99</u>	

Full Name of Fourth Inventor	<b>PATNAIK</b> Family Name	<b>ANURAG</b> First Given Name	Second Given Name
Residence	<b>850 N. Randolph Street, Apt. 2120, Arlington, Virginia 22201</b>		
Citizenship	<b>India</b>		
Post Office Address	<b>850 N. Randolph Street, Apt. 2120, Arlington, Virginia 22201</b>		
Signature			
		Date _____	

**HUNTON & WILLIAMS**  
1900 K Street, N.W., Suite 1200  
Washington, D.C. 20006-1109  
Tel: (202) 955-1500